

RFA # TCS-00-100

**CALIFORNIA DEPARTMENT OF HEALTH SERVICES
TOBACCO CONTROL SECTION**

REQUEST FOR APPLICATION #TCS-00-100

LOCAL TOBACCO CONTROL INTERVENTIONS

December 6, 1999

**P.O. Box 942732, MS #555
SACRAMENTO, CA 94234-7320
(916) 327-5425**

DEPARTMENT OF HEALTH SERVICES

714/744 P STREET
P.O. BOX 942732
SACRAMENTO, CA 94234-7320
(916) 327-5425



December 6, 1999

TO: Prospective Applicants

SUBJECT: REQUEST FOR APPLICATION (RFA) # TCS-00-100

Attached is RFA # TCS-00-100 entitled “**Local Tobacco Control Interventions.**” The purpose of this RFA is to seek applications which address one or more of the following topics: 1) smoke-free areas; 2) point-of-sale retail environment; 3) activities involving 18-24 year olds; 4) transnational tobacco; 5) exposing and countering the tobacco industry; and 6) general advocacy to promote tobacco control policy efforts.

The RFA specifies eligibility, submission requirements, and tentative timelines. Please read the RFA carefully, as this is an open competitive process and applications must comply with all instructions to be reviewed. **Applications are due in the California Department of Health Services, Tobacco Control Section (CDHS/TCS) office by Tuesday, February 8, 2000, no later than 5:00 p.m.**

The complete RFA and all required forms are also available online at the CDHS/TCS website: www.dhs.ca.gov/tobacco. In addition, the Policy Section of the *CDHS/TCS Competitive Grantees Administrative and Policy Manual* is available on the website to assist potential applicants to prepare their applications.

If your organization is eligible and interested in applying for funds, it would be beneficial to attend one of the scheduled Bidders' Conferences. Please bring a copy of the RFA with you to the conference. Answers to questions about the RFA will only be provided at this conference. Phone calls for programmatic technical assistance in preparing the application **will not** be accepted. Grant writing workshops will be offered to interested agencies at a nominal cost from 1:00 p.m. to 5:00 p.m. following each Bidders' Conference.

Prospective Applicants
Page 2
December 6, 1999

BIDDERS' CONFERENCES:

Tuesday, December 14, 1999
9:00 a.m. – 12:00 p.m.
Radisson Hotel Sacramento
500 Leisure Lane
Sacramento, CA 95815
(916) 922-2020

Thursday, December 16, 1999
9:00 a.m. – 12:00 p.m.
Doubletree Hotel
222 North Vineyard Ave.
Ontario, CA 91764
(909) 937-0900

If anyone attending either Bidders' Conference requires special accommodations for the hearing impaired, please call Diane Cusenza, at (916) 323-0684 by December 9, 1999.

ORIGINAL SIGNED BY DILEEP G. BAL, M.D.

Dileep G. Bal, M.D., Chief
Cancer Control Branch

cc: Local Lead Agencies
Regional Community Linkage Projects
Ethnic Networks
Competitive Grantees

TABLE OF CONTENTS

I.	INTRODUCTION.....	1
	A. Purpose	1
	B. Background.....	1
II.	GENERAL GRANT APPLICATION INFORMATION	3
	A. Who May Apply.....	3
	B. Grant Period and Funding Levels	3
	C. Application Submission Requirements	4
	D. Application Review Process	6
	E. Appeals Process.....	7
	F. Tentative Timelines.....	8
III.	PROGRAM PRIORITIES.....	9
	A. Program Priorities Overview	9
	B. Program Priorities Rationale.....	10
IV.	ADMINISTRATIVE AND PROGRAM EXPECTATIONS	12
V.	APPLICANT CAPABILITY.....	15
VI.	PROJECT GUIDELINES.....	16
	A. Project Design.....	16
	B. Evaluation	17
	C. Sample Interventions	18
VII.	APPLICATION INSTRUCTIONS	23
	A. General Instructions.....	23
	B. Application Cover Sheet	24
	C. Application Checklist	25
	D. Table of Contents	25
	E. Narrative	25
	F. Applicant Capability	27
	G. Scope of Work, Parts I and II.....	29
	H. Budget Section	34
	I. Additional Required Forms	46
VIII.	TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS.....	47
	Attachments 1-8.....	48-56
IX.	APPENDICES TABLE OF CONTENTS.....	57
	Appendices A-J.....	58-74

I. INTRODUCTION

A. Purpose

The purpose of this Request for Application (RFA) is to seek applications from qualified California non-profit agencies to conduct local tobacco control interventions. Although, this list is not inclusive, applications addressing one or more of the following topics are preferred:

- smoke-free areas;
- point-of-sale retail environment;
- activities involving 18-24 year olds;
- transnational tobacco;
- exposing and countering the tobacco industry; and
- general advocacy to promote tobacco control policy efforts.

This RFA will **not** fund efforts which address or include the following areas or activities: 1) social sources of tobacco; 2) merchant education to decrease illegal tobacco sales, unless as part of implementing new tobacco control ordinances or policies; 3) websites; 4) smoke-free pledges to reduce exposure to environmental tobacco smoke (ETS) in homes and vehicles; 5) provision of direct cessation services; and 6) planning objectives.

B. Background

In November 1988, California voters approved the Tobacco Tax and Health Promotion Act of 1988 (Proposition 99) which added a 25 cent tax to each pack of cigarettes sold in the state. These additional tobacco taxes were earmarked for tobacco-related research, health education and promotion, and health care.

The enabling legislation for Proposition 99 includes Assembly Bills (AB) 75, 99, and 3487, and Senate Bills (SB) 99, 816, 493, and the annual State Budget. These bills provide legislative authority for programs administered by the California Department of Health Services, Tobacco Control Section (CDHS/TCS) to:

- conduct health education interventions and behavior change programs at the state level, in the community, and other non-school settings;
- apply the most current research and findings; and
- give priority to programs that demonstrate an understanding of the role community norm change has in influencing behavioral change regarding tobacco use.

The scope of the health education campaign launched by CDHS/TCS is addressed in the Health and Safety Code, Part 3, Chapter 1, commencing with Section 104350. These statutes authorize CDHS/TCS to fund a variety of innovative approaches to reduce tobacco use which includes among other things, funding for local health departments (local lead agencies), competitively selected state, regional, and community-based projects, a state media campaign, and an extensive evaluation of the entire tobacco control program.

Funding for the competitive grants is made available pursuant to Health and Safety Code Section 104385, which requires CDHS/TCS to award grants for projects directed at the prevention of tobacco-related diseases. Preference is given to community-based organizations that have demonstrated their effectiveness and capacity to provide anti-tobacco use education services and serve populations in areas with unmet needs.

II. GENERAL GRANT APPLICATION INFORMATION

A. Who May Apply

1. California public or private non-profit organizations are eligible to apply for these funds. For applicants claiming private non-profit status, **either** certification from the State of California, Office of Secretary of State, **or** a letter from the Department of the Treasury, Internal Revenue Service (IRS) classifying the applicant administrative agency as a private non-profit **MUST BE INCLUDED** with the submission of the application. The certification application and a sample letter are provided in Appendix A and B.
2. Pursuant to Health and Safety Code Section 104440, local health departments may only apply for these funds as a member of a consortium of two or more community-based organizations or non-profit agencies. The health department applicant must serve as a fiscal agent and prime contractor responsible for overall administration and coordination of the project which includes two or more subcontractors.
3. State of California agencies, other than state universities and colleges, are not eligible for these funds.
4. Public schools may apply for these funds if the application reflects a school-community based approach and the school is not receiving Proposition 99 funds from the California Department of Education (CDE) or supplanting CDE funding.

B. Grant Period and Funding Levels

1. Approximately \$7 million is expected to be available for this RFA to fund competitive community grants from appropriations in fiscal years (FY) 2000-2001, 2001-2002, and 2002-2003. Funding is contingent on the availability of anticipated additional FY 2000-2001 and subsequent fiscal years funding. The actual funding level for each FY will be known when the state budget is signed by the Governor. There is no guarantee that funding will be available.
2. Grant awards are for a three-year period beginning July 1, 2000 and ending June 30, 2003. **Applications must be for the entire three-year period.** CDHS/TCS will have the option of renewing the grant for an additional two years if funds are available and the grantee has performed to the satisfaction of CDHS/TCS.
3. Grant awards are expected to average a total of \$300,000 to \$600,000 for the entire grant period depending upon the scope, quality, and quantity of the types of activities proposed.
4. CDHS/TCS anticipates funding a total of 15 to 22 tobacco control projects through this competitive community RFA process.

5. CDHS/TCS reserves the right to fund any or none of the applications submitted in response to this RFA. CDHS/TCS may also waive any immaterial deviation in any application. The CDHS/TCS waiver of any immaterial defect(s) shall not excuse an application from full compliance with the contract terms if a contract is awarded.
6. CDHS/TCS reserves the right to withdraw any award if an acceptable Scope of Work, Budget, Budget Justification, and other CDHS/TCS required forms are not received by CDHS/TCS within 45 calendar days of being negotiated by CDHS/TCS and the awardee.
7. CDHS/TCS reserves the right to withdraw any award or negotiate the Scope of Work of any proposed projects or proposed project components.
8. Expenses associated with preparing and submitting an application are solely the responsibility of the applicant agency and will not be reimbursed by CDHS/TCS.

C. Application Submission Requirements

NOTE: All applicants agree in submitting an application, that CDHS/TCS is authorized to verify any and all claimed information and to verify any references named in the application. All applications received by CDHS/TCS are subject to the provisions of the "California Public Record Act" (Government Code Section 6250 et seq.) and are not considered confidential after completion of the selection process.

1. Letter of Intent

For the purpose of planning the review process, all prospective applicants are to submit a letter notifying CDHS/TCS of the intent to submit an application. **One (1) signed letter of intent should be sent by 5 p.m., Friday, January 7, 2000.** The letter of intent must be submitted on the applicant's letterhead and state the following: the name and number of the RFA under which the application will be submitted, the estimated budget request, and the TCS priority program area(s) to be addressed. E-Mail documents will not be accepted. Mail or fax the letter of intent to:

Tobacco Control Section
ATTN: Diane Cusenza
California Department of Health Services
P.O. Box 942732, MS #555
Sacramento, CA 94234-7320
FAX # (916) 327-5424

Clearly indicate "Local Tobacco Control Interventions RFA # TCS-00-100" on the outside of the mailing envelope or FAX transmittal sheet.

2. Application

Submit one signed original (clearly marked "original"), six (6) copies of the entire application, and six (6) additional copies of the narrative. Clearly indicate "Local Tobacco Control Interventions RFA # TCS-00-100" on the outside of the mailing envelope. **Applications must be received by 5 p.m., Tuesday, February 8, 2000, at CDHS/TCS.**

- FAX and E-Mail documents will not be accepted. It is the sole responsibility of the applicant to ensure that CDHS/TCS receives the required number of copies of the application by the above deadline. No exceptions will be made.
- A late or an incomplete application will be considered non-responsive and will not be reviewed for funding.
- No changes, modifications, corrections, or additions may be made to the application once it is received. No exceptions will be made.

Deliver completed applications to CDHS/TCS:

U.S. Postal Service (USPS) Delivery Address: If you submit a application through the USPS, either regular or priority mail, send the package to the following address. **Private shipping companies DO NOT deliver to this address.**

Tobacco Control Section
ATTN: Diane Hightree
California Department of Health Services
P.O. Box 942732, MS #555
Sacramento, CA 94234-7320

"Local Tobacco Control Interventions"
RFA # TCS-00-100

Hand Delivery or Private Shipping Company Address: If you deliver in person or submit an application using a private shipping company (e.g., UPS or FedEx) use the street address below. **The U.S. Postal Service WILL NOT deliver ANY mail to the street address, including priority mail.**

Tobacco Control Section
ATTN: Diane Hightree
California Department of Health Services
601 North 7th Street, MS 555
Sacramento, CA 95814

"Local Tobacco Control Interventions"
RFA # TCS-00-100

*** See Appendix C for directions to TCS. ***

3. RFA Bidders' Conferences

Two RFA Bidders' Conferences are scheduled for the purpose of answering questions directly related to the RFA requirements. Technical assistance regarding programmatic content will not be available.

Sacramento

Tuesday, December 14, 1999
9 a.m. – 12 p.m.

Radisson Hotel Sacramento
500 Leisure Lane
Sacramento, CA 95815
(916) 922-2020

Ontario

Thursday, December 16, 1999
9 a.m. – 12 p.m.

Doubletree Hotel
222 N. Vineyard Avenue
Ontario, CA 91764
(909) 937-0900

A grant writing workshop will be held from 1 p.m. - 5 p.m. following each Bidders' Conference. The fee for the workshop is \$15.

D. Application Review Process

1. Review for Compliance with Mandatory RFA Requirements

Applications will be date and time stamped upon receipt at CDHS/TCS. Each application received by CDHS/TCS by 5 p.m. on Tuesday, February 8, 2000, will be reviewed for compliance with the requirements provided in this document.

Applications that do not comply with the requirements will be considered non-responsive and excluded from the review. Omission of any required document or form, failure to use required formats for response, or failure to respond to any requirement may lead to rejecting the application prior to the peer review. CDHS/TCS may waive any immaterial deviation in any application. LATE, INCOMPLETE, OR NON-COMPLIANT APPLICATIONS WILL BE REJECTED.

2. Peer Review

Each application that complies with the mandatory requirements will be evaluated and scored by a peer review committee on a scale of 0 to 100 points. Applications receiving a score of 75 points or more will be considered for funding depending upon the availability of funds and non-duplication of local, state, or national tobacco control initiatives. There is no guarantee that scoring above 75 will result in funding or funding at the level requested.

The maximum point value of each section is as follows:

Narrative	20 points
Applicant Capability	25 points
Scope of Work Parts I & II (Including Evaluation)	40 points
Budget and Budget Justification	<u>15 points</u>
	100 points

3. Review of Applicant Performance

As part of the final selection process, CDHS/TCS may consider an applicant's performance under current and/or prior grants, contracts, or cooperative agreements with CDHS. This may include, but is not limited to, completing contract deliverables, timely and accurate submission of progress reports and evaluation reports, timely and accurate submission of invoices and fiscal documentation, a review of financial and programmatic audits, consistent use of PARTNERS, and participation in CDHS/TCS conferences, trainings, and teleconferences. CDHS/TCS reserves the right to reject any **APPLICATION** with a passing score based on an applicant's inadequate performance in current and/or prior grants, contracts, cooperative agreements, or subcontracts with CDHS.

4. Notification of Decision

Each applicant, whether selected for funding or denied, will be notified in writing of the funding decision. Applicants may receive, upon written request directed to CDHS/TCS, the consensus review tool summary page for their application which provides the score and overall strengths and weaknesses of their application.

5. Contract Negotiation

Following the award notification, contract negotiations will occur with the potential contractor in a timely manner. CDHS/TCS reserves the right to reject any proposed project(s) or project component(s). Following contract negotiations, the contractor is required to submit a detailed Scope of Work, Parts I and II, Budget, and Budget Justification in accordance with CDHS/TCS requirements, which will become part of the formal grant. Upon completion and approval of these documents, the grant will be fully executed and work will commence.

E. Appeals Process

Only those agencies that submit an application consistent with the requirements of this RFA and are not funded may appeal. There is NO appeal process for applications that are submitted late or are incomplete. Applicants may not appeal their funding level. Letters appealing the final application selection must be received **no later than 5 p.m. on Friday, March 24, 2000, at the address indicated below. E-Mail transmitted documents WILL NOT BE ACCEPTED.** Appeals shall be limited to the grounds that CDHS/TCS failed to

correctly apply the standards for reviewing your agency's application in accordance with this RFA. The appellant must file a written appeal, which includes the issue(s) in dispute, the legal authority or other basis for the appellant's position, and the remedy sought. Incomplete appeals will be rejected. Appeals must be mailed or faxed to:

Donald O. Lyman, M.D., Chief or designee
Division of Chronic Disease and Injury Control
Department of Health Services
P.O. Box 942732, MS #504
Sacramento, CA 94234-7320
Fax number: (916) 327-5424

At his sole discretion, the Chief of the Division of Chronic Disease and Injury Control or his designee may hold an appeal hearing with each appellant and then come to a decision, either based on the combination of the written appeal letter and the evidence presented at the hearing, or based on the written appeal letter if no hearing is conducted. The decision of the Chief of the Division of Chronic Disease and Injury Control or his designee shall be final. There is no further administrative appeal. Appellants will be notified of decisions regarding their appeal in writing within fifteen (15) working days of their hearing date or the consideration of the written appeal letter, if no hearing is conducted.

F. Tentative Timelines

December 6, 1999	Release of RFA
December 14, 1999	Bidders' Conference: Sacramento 9 a.m. – 12 p.m. Grant Writing Workshop 1 p.m. – 5 p.m.
December 16, 1999	Bidders' Conference: Ontario 9 a.m. – 12 p.m. Grant Writing Workshop 1 p.m. – 5 p.m.
January 7, 2000	Letters of Intent due by 5 p.m.
February 8, 2000	Applications due by 5 p.m.
March 17, 2000	Award decisions announced
March 24, 2000	Appeals due by 5 p.m.
March 31-April 7, 2000	Appeal Hearings
July 1, 2000	Contract period begins
June 30, 2003	Contract period ends

III. PROGRAM PRIORITIES

A. Program Priorities Overview

CDHS/TCS is responsible for supporting a statewide Tobacco Control Program designed to reduce tobacco use in the state and achieve a tobacco-free California. Through the coordinated efforts of local health departments, community-based organizations, and a statewide media campaign, this program has made extraordinary progress toward these goals.

The program has maintained its focus and coherence by adhering to a common “denormalization” strategy. Through awareness raising, education, policy advocacy, and community mobilization, the program awakens the community out of its indifference to or tolerance of exposure to ETS, availability of tobacco products to minors, and the saturation of our community environments with tobacco advertising and such tobacco promotions as sponsorship of community, cultural, ethnic, and sporting events, as well as political campaign contributions, lobbying, and public relations campaigns to normalize tobacco sales and use in communities.

Over the past 10 years (1988-1998) the adult smoking prevalence in California has declined by more than 20 percent, and the overall annual per capita rate of tobacco consumption by Californians has declined by more than 50 percent. However, the adult smoking prevalence rose from 16.7 percent in 1995 to 18.4 percent in 1998. Particularly disturbing is that the smoking prevalence rate for 18-24 year olds increased from 16.4 percent in 1995 to 22.0 in 1998. Clearly, despite past success in lowering the adult smoking prevalence rate, local programs must continue to focus on denormalizing tobacco use.

There has been mixed results related to youth smoking prevalence. Between 1990 and 1993, youth (age 12 to 17) smoking prevalence in California remained relatively flat at about 9 percent. However, paralleling the national trend, the California youth smoking prevalence began experiencing an increase in 1994, peaking at a high of 12.1 percent in 1995. The rate has since leveled off to 10.7 percent in 1998. Youth smoking prevalence has been consistently lower in California than in other states.

Based on the current picture of tobacco use in California and past successes, the focus for this RFA continues to be on the three CDHS/TCS priorities: 1) countering pro-tobacco influences in the community; 2) reducing exposure to ETS and increasing the number of smoke-free public spaces, worksites, schools, and communities; and 3) reducing the availability of tobacco products to youth. These priorities address key factors related to adult and/or youth tobacco use and are broad enough to encompass nearly all tobacco control activities.

The Tobacco Control Program is supporting projects that address one or more of the aforementioned denormalization priorities. All applications must be likely to result in community norm change and should incorporate policy, youth, and/or community advocacy strategies.

B. Program Priorities Rationale

The rationale for three priority areas of programmatic focus for denormalization is as follows:

1. **Counter Pro-Tobacco Influences In The Community.** Eliminating tobacco industry influence in our communities is a high priority for California's tobacco control programs. The tobacco industry spends massive amounts of money on slick advertising and promotional campaigns, which mislead the public regarding the addictiveness and negative health effects of tobacco. Tobacco companies strategically target specific community events, such as rodeos, automobile races, and bar events to create the perception that tobacco is a vital and even necessary part of community life. Preliminary results of the 1996-98 Independent Evaluation indicate that:
 - In 1998, 90 percent of adults, 86 percent of 8th-graders, and 94 percent of 10th-graders reported seeing tobacco advertising "sometimes" or "a lot" in at least one type of media venue.
 - Tobacco advertising has increased in most type of newspapers, especially weekly entertainment (alternative) newspapers. These are often found in coffee houses and on college campuses.
 - Tobacco-sponsored bar nights were heavily advertised in weekly entertainment newspapers in large cities. There was an increase from 0.4 ads per issue in 1996 to 2.2 ads per issue in 1998.
 - National magazines with high California readership had relatively high levels of tobacco advertising (2.3 ads per issue).
 - Five of six magazines with at least 10 percent youth readership had higher than average levels of tobacco advertising per issue. (*Field and Stream*, 6.0 ads per issue; *Spin*, 5.0 ads per issue; *Rolling Stone*, 5.0 ads per issue; *Sports Illustrated*, 3.4 ads per issue; and *Ebony*, 2.5 ads per issue)
 - In 18 California counties surveyed in 1998, 12 percent of large events had tobacco industry sponsorship. Eighty-six percent of rodeos had tobacco industry sponsorship.

Tobacco control strategies in this priority area include developing interventions to weed out the harmful tobacco industry presence in our communities; tracking and reporting industry violations of the provisions of the Master Settlement Agreement (MSA); enacting local policies to reduce exposure to tobacco advertising, and promotions; creating alternative sponsorship opportunities; and countering efforts to block or weaken regulation of tobacco or policies already in place. In addition, because of the increase in smoking among young adults, strategies are needed to impact this population with interventions to counter tobacco industry tactics that position tobacco use as “edgy” and “cool”.

2. **Reduce Exposure to ETS and Increase the Number Of Smoke-Free Public Spaces, Worksites, Schools, and Communities.** The tobacco control literature shows that where there are strong policies that protect people from the effects of secondhand smoke, there is a drop in smoking prevalence. This cause and effect relationship has been substantiated on a large scale by the California experience.

In 1994, the State Legislature enacted the Smoke-Free Workplace Act, Assembly Bill (AB) 13 (Labor Code 6404.5). This law prohibited smoking in most enclosed worksites with limited exemptions. January 1, 1998, ushered in the second phase of Labor Code 6404.5, which extended the no smoking policy to bars, taverns, and gaming clubs. Consistent education and enforcement has been and will continue to be critical to the success of Labor Code 6404.5., protecting California workers and the public from the effects of ETS and helping large numbers of smokers to get the environmental support they need to quit smoking remains a high priority with TCS.

Confirming the importance of reducing exposure to ETS, a 1997 California Environmental Protection Agency report, “Health Effects of Exposure to Environmental Tobacco Smoke,” provided overwhelming evidence that ETS exposure is causally associated with developmental, respiratory, carcinogenic, and cardiovascular health effects; including fatal outcomes such as Sudden Infant Death Syndrome (SIDS), and heart disease mortality, as well as serious chronic diseases such as childhood asthma.

3. **Reduce Availability of Tobacco Products to Youth.** Overall, California has seen a significant drop in the rates of illegal tobacco sales, down from 52.1 percent in 1994 to 13.1 percent in 1998. However, the rate is anticipated to increase in 1999. In addition, over 80 percent of young people report they still have no problem obtaining tobacco.

This area is a lesser priority than countering pro-tobacco influences and reducing exposure to ETS. However, efforts to prevent youth access to tobacco, such as STAKE (Stop Tobacco Access to Kids Enforcement) Act and Penal Code Section 308(a) enforcement and tobacco retailer licensing must continue at a level that maintains California’s compliance with the federal and state laws requiring an illegal tobacco sales rate of less than 20 percent.

IV. ADMINISTRATIVE AND PROGRAM EXPECTATIONS

Agencies applying for these funds must have the administrative ability to manage state grant funds and the technical expertise to successfully implement the proposed project activities. It is the experience of CDHS/TCS that some applicants are unfamiliar with state procedures, requirements, and expectations. The following information is provided in order that prospective applicants might assess their ability to enter into a binding grant agreement with CDHS/TCS.

1. Grantees (funded agencies) are to expend funds in accordance with the negotiated line item budget. If changes in line items, salary ranges, or staffing patterns need to be made, the grantee must request a budget revision or a grant amendment depending on what in the budget needs to be changed. It is up to the discretion of CDHS/TCS whether or not to approve the requested budget revision or grant amendment.
2. Grantees are reimbursed in arrears for actual expenses, which means the agency or individual incurs expenses and is then reimbursed by CDHS/TCS. The grantee submits a monthly invoice for expenses incurred in the previous 30 days and then the State has up to 30 days to pay certified small businesses and up to 45 days to pay others. **This means that the grantee must be able to cover at least 45 to 60 days worth of project payroll, indirect, and operating expenses prior to reimbursement by the State.** Additionally, grantees are to submit invoices to CDHS/TCS in a timely manner to ensure: 1) prompt payment of expenses, and 2) cash flow maintenance.
3. Grantees are expected to contact CDHS/TCS if they are having difficulties implementing the Scope of Work or need to make changes in the approved activities. The agency must be aware that it is legally bound to deliver the services as stated in the Scope of Work. This includes serving the number of people identified, conducting the stated number of activities, developing the identified educational materials, etc. If changes need to be made in the Scope of Work, the grantee must contact CDHS/TCS to discuss the issue and request a Scope of Work revision or a contract amendment. It is up to the discretion of CDHS/TCS whether or not to approve the request. **If grant deliverables, including Progress Reports, are not completed satisfactorily, CDHS/TCS has the authority to withhold and/or recover payment of funds.**
4. Grantees are expected to refer to and comply with the Competitive Grantees Administrative and Policy Manual. This manual is referenced in the contract and, as such, is a contract document. The manual will be made available to successful applicants.
5. Grantees are to be knowledgeable of standard payroll practices including State and Federal tax withholding requirements.
6. Grantees are to maintain accounting records that reflect actual expenditures including, but not limited to: accounting books, ledgers, documents; payroll records, including signed

time sheets; etc., following standard accounting procedures and practices that properly reflect all direct and indirect expenses related to this grant. These records shall be kept and made available for three (3) years from the date of the final grant payment.

7. Grantees are to obtain an annual single organization-wide financial and compliance audit. CDHS/TCS will reimburse the grantee for its proportionate share of the audit expense.
8. Grantees are required to obtain prior approval from CDHS/TCS before they are reimbursed for any purchase order, subcontract, or consultant agreement costing \$5,000 or more. Three (3) competitive bids are required as well as other documentation of the bid process. This information along with the proposed subcontract or consultant agreement must be submitted to CDHS/TCS for approval prior to reimbursement of such expenses.
9. Grantees are to have a procedure designating a person within their agency or organization who may sign payroll time sheets, requisitions, and invoices.
10. Grantees are to maintain accurate records regarding program implementation, which document the number of people served, materials developed, activities conducted, etc. It is expected that these documentation records may include, but will not be limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc. It is recommended that the grantee set up documentation files by objective or major activities. Planning minutes, media outreach, and sign-in sheets, etc., should be filed in the objective-specific file as activities are completed.
11. Grantees are to have sufficient personnel to submit to CDHS/TCS timely, accurate, and complete progress reports every six (6) months using the forms and format provided by CDHS/TCS.
12. Grantees are to have adequate personnel to insure timely submission of accurate invoices and maintain the fiscal integrity of the grant.
13. Grantees and all subcontractors should be aware that the State shall be the owner of all rights, title, and interest in, but not limited to, the copyright to any and all Works created, produced, or developed under a grant funded from this RFA, whether published or unpublished. Appendix C contains the specific language that will be incorporated into the boilerplate language of the grant funded by CDHS/TCS. If successful in your RFA, you must comply with the copyright and ownership of materials language. Review Appendix D carefully. Changes to this language will **not** be negotiated at any time during the RFA process nor with the funded applicant.
14. Grantees are to be aware that travel and per diem rates must not exceed those amounts paid to State non-represented employees. Additionally, out-of-state travel is not reimbursable without prior written approval by CDHS/TCS.

15. Grantees are expected to hire program and fiscal/administrative staff with the appropriate training and experience to fulfill all program grant related deliverables as well to fulfill payroll, accounting, and administrative procedures.
16. Grantees are to be aware that CDHS/TCS may withhold payment of invoices for lack of documented and/or timely progress, as well as for any apparent non-compliance with contract requirements.

V. APPLICANT CAPABILITY

Funding preference will be given to agencies that exhibit the following qualifications:

1. Demonstrate at least two years previous experience conducting either policy, advocacy, media, training, community planning, or community organization strategies.
2. Demonstrate effectiveness and capacity in providing tobacco control or other health education services that resulted in community norm change.
3. Demonstrate at least two years of access to and previous experience with the target community/population and the ability to conduct program activities that are appropriate in terms of the culture, language, literacy level, age, and gender of that community/population.
4. Demonstrate at least two years administrative, fiscal, and programmatic ability to manage state government grant funds, to enter into subcontracts, and to comply with all state contract requirements.
5. Demonstrate the availability of adequate equipment (including computers) to at least partially support staff and program needs.
6. Pursuant to Health and Safety Code Section 104445, preference shall be given to current contractors that meet the following requirements: a) have demonstrated effectiveness and capacity in providing tobacco education services; b) serve populations and areas with substantial unmet service needs; and c) provide new or expanded services to geographic areas or target populations underserved as determined by this RFA.

VI. PROJECT GUIDELINES

A. Project Design

Funding preference will be given to applications that include the following:

1. **Compliance with TCS Policies and Procedures**

The Scope of Work and budget is to be consistent with the policies and procedures found in the Policy Section of the Competitive Grantee Administrative and Policy Manual. The Policy Section is posted on the CDHS/TCS website: www.dhs.ca.gov/tobacco. When developing the Scope of Work and Budget, please review the Policy Section of the aforementioned manual and pay particular attention to those policies addressing lobbying restrictions, incentives, promotional items, and sponsorship.

2. **An integrated plan for achieving objectives that focuses on community norm change**

The Scope of Work must demonstrate the applicant's understanding of the role community norms have in influencing behavior change regarding tobacco use. It is to include coordinated use of community interventions, such as, policy development, paid media, media advocacy, training, opinion polls, community forums, and other methodologies that will lead to community norm change.

3. **Documentation of the problem**

The Scope of Work is to include activities that document and publicize the presence of the problem or demonstrate support for an intervention. These may include: surveys of tobacco advertising, key informant interviews, public intercept surveys, telephone surveys, etc.

4. **Institutionalization**

Interventions are to use community norm change strategies which are likely to lead to long-term, institutionalized change.

5. **Coordination and collaboration**

The Scope of Work is to reflect communication, coordination, and collaboration with other TCS-funded projects, schools, and voluntary health organizations. Projects should use and enhance existing services and resources. Applicants **are strongly encouraged to** contact the project directors of the Local Lead Agencies (LLAs), the Regional Community Linkage Projects, the Ethnic Networks, and statewide and local projects that serve the geographical area for the proposed interventions or the populations to receive services. Applicants should discuss proposed activities to ensure coordination with these programs. A list of the LLAs Project Directors, Regional Community Linkage Projects, Ethnic Networks, and statewide or other local projects is available on the CDHS/TCS website: www.dhs.ca.gov/tobacco.

6. Community mobilization

The Scope of Work activities are to mobilize community support for educational, policy, advocacy, and enforcement activities. These may include: public forums, letter writing campaigns, press conferences, obtaining resolutions from community groups, generating newspaper editorials, collaborating with key community leaders or agencies, and creating new alliances.

7. Capacity building

The Scope of Work activities are to build the capacity of communities to address tobacco issues. Activities may include: spokesperson training, conducting public forums or events, and providing leadership opportunities to youth.

8. Media

The Scope of Work is to include coordinated use of paid media, public service announcements, and media advocacy where appropriate.

9. Evaluation

Pursuant to Health and Safety Code Section 104385, CDHS/TCS shall require any program funded under this chapter to provide statistics on the impact of the program. Therefore, the Scope of Work is to include a sound evaluation plan consistent with the requirements described below.

B. Evaluation

The following are required elements of the project evaluation:

1. Outcome objectives and the use of appropriate data sources to determine progress made on each objective in the Scope of Work. This may require setting up control groups and allocating resources for staff, consultants, data base development, data entry, statistical analysis, report writing, and dissemination of the evaluation findings. Some objectives may lend themselves to a case study evaluation design that uses data from sources such as community surveys, key informant interviews, and focus groups.
2. Process evaluation or “tracking” measures such as focus groups for educational material development. Successful applicants are to track the implementation of various activities (e.g., maintain files on sign-in sheets, training agendas, meeting minutes, distribution lists, copies of news releases, focus group findings, etc.).
3. A description of why you believe the proposed activities will result in achieving the outcome defined in the objective (e.g., the theory of change).
4. Inclusion of the following points in the evaluation plan:
(Please note: the evaluation plan is part of the Scope of Work. It is not a separate document.)

- Information on what is expected to change or what will be measured (e.g., policy, number of ads or stores, etc.).
 - The instruments to be used for data collection (e.g., surveys, etc.).
 - Information on how the data will be collected (e.g., through the mail, by phone, in person, observational, etc.).
 - The location where the data will be collected (e.g., homes, malls, schools, tobacco retail outlets the name of specific communities, etc.).
 - The number to be measured (e.g., sample size -- number of stores, number of persons, number of households, etc.).
 - Information on how the sample will be selected (e.g., simple random, random clusters, purposive, convenience, etc.).
 - The type of analysis to be used (e.g., comparison over time or with other groups, or with a control group, etc.).
 - Information on how the results will be disseminated (e.g., paper submitted for publication, posted on PARTNERS, provision of training, etc.).
5. Allocation of at least 10 percent of the Project Budget for evaluation and designation of one staff person as the lead on evaluation activities. At a minimum, 10 percent of the lead staff person's time must be dedicated toward overseeing and coordinating evaluation activities with CDHS/TCS and any evaluation consultant or subcontractor who may be hired. (This is a **mandatory requirement** and must be evident in the budget.)
 6. Demonstrated participation in the development of the evaluation plan by an evaluation consultant with at least three years of experience evaluating local community health projects and experience evaluating community norm change strategies rather than individual behavior change.

C. Sample Interventions

Applicants are encouraged to be innovative and creative in the design of their projects in order to diminish tobacco use and to incorporate approaches that can be replicated by others. The interventions listed below are meant to generate ideas and are not to be viewed as the only interventions that will be considered for funding.

However, projects are preferred that address one or more of the identified topics:

1) Smoke-Free Areas; 2) Point-of-Sale Retail Environment; 3) Activities Involving 18-24 Year Olds; 4) Transnational Tobacco; 5) Exposing and Countering the Tobacco Industry; and 6) General Advocacy to Promote Tobacco Control Policy Efforts.

1. Smoke-Free Areas

- a. Smoke-Free Bar Enforcement -- Interventions may include, but are not limited to, the provision of training to enforcement agencies, and issuing “report cards” describing local enforcement successes and failures.
- b. Smoke-Free Areas Currently Exempted by Labor Code Section 6404.5 (AB 13) -- Interventions may include, but are not limited to, policies that extend beyond the scope of Labor Code Section 6404.5 to include prohibitions on smoking in hotel lobbies, single-person offices, etc.
- c. Smoke-Free Multi-Unit Housing -- Interventions may include, but are not limited to, policies to prohibit or limit smoking in apartment buildings and condominiums; and the creation of tobacco-free housing directories.
- d. Smoke-Free Outdoor Events -- Interventions may include, but are not limited to, voluntary policies to prohibit smoking at outdoor events, such as rodeos, fairs, festivals, concerts and sporting events.
- e. Smoke-Free Outdoor Areas -- Interventions may include, but are not limited to, policies to prohibit smoking in public parks and recreational sites, breezeways, and outside entrances and exits of buildings, etc.

2. Point-of-Sale Retail Environment

- a. Retail Tobacco Sales -- Interventions may include, but are not limited to policies to regulate how tobacco is sold in retail outlets (e.g., retailer licensing, self-service display bans), and encouraging local enforcement of Penal Code Section 308 (a).
- b. Location of Tobacco Retail Outlets -- Interventions may include, but are not limited to activities to restrict where retail tobacco outlets may be located (e.g., conditional use permits; and mall, shopping center, and plaza lease agreements that prohibit businesses that sell tobacco products).
- c. Point-of-Sale Advertising/Promotions -- Interventions may include, but are not limited to, policies that prohibit or restrict in-store tobacco advertising and promotions or outdoor sidewalk signs not banned by the MSA, monitoring and reporting of MSA violations related to storefront advertising, and encouraging enforcement of local signage ordinances.

- d. Non-Traditional Tobacco Retail Outlets -- Interventions may include, but are not limited to, policies to prohibit tobacco sales in non-traditional locations, such as golf course pro-shops, donut shops, and newspaper stands.
- e. Tobacco Industry Slotting Fees -- Interventions may include, but are not limited to, countering the tobacco industry's use of monetary payments to influence retailers' point-of-sale tobacco advertising and promotional practices and product placement.
- f. Illegal Sale of Bidis -- Interventions may include, but are not limited to, policies to prohibit the import and sale of bidis. Bidis are unfiltered, hand rolled, flavored cigarettes. They are imported from India and some southeast Asian countries.

3. Activities Involving 18-24 Year Olds

- a. Social Locations -- Interventions may include, but are not limited to, tobacco control activities focused on places where persons 18-24 years of age congregate and socialize, such as coffee houses, concerts, and clubs.
- b. Alternative Media -- Interventions may include, but are not limited to, policies in alternative newspapers and magazines prohibiting tobacco industry advertising, and counter-advertising in those publications.
- c. Environmental Issues -- Interventions may include, but are not limited to, efforts to mobilize 18-24 year olds by publicizing the negative impact of the tobacco industry on the environment.

4. Transnational Tobacco

- a. Local Ethnic Groups and New Immigrants -- Interventions may include, but are not limited to, identifying and publicizing how transnational promotion of, and addiction to, tobacco impacts local ethnic populations, especially new immigrants, and educating policy makers and opinion leaders about "tobacco dumping" in third world countries.
- b. Framework Convention on Tobacco Control -- Interventions may include, but are not limited to, seeking local support for, and the adoption of, the World Health Organization's Framework Convention on Tobacco Control.

5. Exposing and Countering the Tobacco Industry

- a. Tobacco Industry Sponsored "Bar Nights" -- Interventions may include, but are not limited to, policies prohibiting the tobacco industry from giving free tobacco samples and engaging in other advertising and promotional strategies at bars, nightclubs, and sports clubs; and conducting activities to counter or supplant industry-sponsored bar nights.

- b. Event Sponsorship -- Interventions may include, but are not limited to, working with local venues (stadiums, arenas, fairgrounds, race tracks) to develop policies that prohibit tobacco industry sponsorship of events on their property; and working with co-sponsors of community events to adopt policies which prohibit their organizations from endorsing or co-sponsoring events or projects which accept tobacco industry sponsorships.
- c. Corporate Giving -- Interventions may include, but are not limited to, working with civic, ethnic, and women's organizations to develop policies which prohibit the acceptance of tobacco industry support (both endorsement and financial).
- d. Monitor the MSA -- Interventions may include, but are not limited to, monitoring tobacco industry compliance with the MSA at the local level and reporting violations to the Office of the Attorney General of California.
- e. Tobacco Product Sampling -- Interventions may include, but are not limited to, policies that completely ban the distribution of free tobacco products at community events.
- f. Celebrity Participation in Sporting and Entertainment Events -- Interventions may include, but are not limited to, monitoring and exposing individuals using their celebrity status to market tobacco products.

6. General Advocacy to Promote Tobacco Control Policy Efforts

- a. Tracking Tobacco Control Policies -- Interventions may include, but are not limited to, tracking local and/or state and federal tobacco control laws and making the information available to local tobacco control programs.
- b. Media Literacy -- Interventions may include, but are not limited to, community-based activities (versus individual education) focused on recognizing, understanding, and overcoming manipulative tobacco industry advertising, promotional activities, and public relation strategies and techniques.
- c. Internet/Direct Mail/Telephone Sales of Tobacco -- Interventions may include, but are not limited to, policies to restrict or prohibit sales of tobacco except via face-to-face interaction.

CDHS/TCS workgroups address ETS, point-of-sale practices, chew/dip tobacco, and transnational tobacco issues. In addition, two statewide campaigns will be ongoing during the contract term of funded projects: 1) Project Smart (Sponsorship Mission: Avoid Reliance on Tobacco) Money, which focuses on tobacco industry sponsorships and compliance with the MSA; and 2) Tobacco-Free Communities, which focuses on community assessment, planning, and action regarding tobacco control issues.

Applicants should consider allocating time and resources to participate in statewide campaigns and activities that are similar in nature to their proposed Scope of Work. Workgroup members and campaign participants will, in many cases, be able to provide technical assistance, training, and materials to grantees.

VII. APPLICATION INSTRUCTIONS

A. General Instructions

1. **READ ALL INSTRUCTIONS CAREFULLY.** Be sure to include all of the information required in this RFA, including all attachments and copies. Re-check the application to ensure completeness.
2. **DO NOT ASSUME** the reviewers have prior knowledge of the past history of the applicant agency or previous tobacco control programs administered by the agency. The burden is on the applicant to demonstrate an understanding of the services to be delivered under the intended contract, and the ability to design and carry out **efficient services that are reasonably budgeted.**
3. **DO NOT PROVIDE ANY MATERIALS THAT ARE NOT REQUESTED.** Any materials submitted that are not requested under this RFP will be discarded prior to application review, including pages that go over the maximum number in specified sections with page limitations.
4. Number each page of the application consecutively.
5. The type font size is to be no less than 12 characters per inch.
6. Folders and binders are **not** desired; securely staple the application in the upper left corner.
7. Clearly indicate "Local Tobacco Control Interventions RFA #TCS-00-100" on the outside of the mailing envelope.
8. Attachments 1, 4, 7, and 8 require a signature by the person authorized to legally bind the applicant agency to the commitment outlined in the application. **Allow time to obtain these required signatures.**
9. Present the components of the RFA in the order listed below using the instructions provided on subsequent pages to complete each area.
 - a. Application Cover Sheet (Attachment 1)
 - b. Application Checklist (Attachment 2)
 - c. Table of Contents (Attachment 3)
 - d. Narrative (No Attachment Provided, **15-page maximum**, not including Acknowledgement of Communication with CDHS/TCS Funded Projects Form)

- 1) Community Profile and Target Group(s) To Be Served
- 2) Proposed Scope of Work Summary
- 3) Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)
- e. Applicant Capability – (No Attachment) **10-page maximum** for narrative portion #1, 2, and 3.
 - 1) Program Experience
 - 2) Administrative/Fiscal Experience
 - 3) Equipment
 - 4) Letters of Reference (3 required)
- f. Scope of Work, Parts I and II (Attachments 5 & 6)
- g. Budget (No Attachment)
- h. Budget Justification (No Attachment)
- i. Drug-Free Workplace Certification (Attachment 7)
- j. Agency Documentation Requirements (Attachment 8)
- k. Proof of Non-Profit Status (No Attachment)

NOTE: ➤ DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.

B. Application Cover Sheet (Attachment 1)

- Item 1: Enter the **legal** name of the applicant. Fill in the project name. Enter the mailing address, which will appear on any subsequent agreement. Enter the name of the county in which the applicant's headquarters is located. Enter the name of the primary person to be contacted regarding this application, the phone number, and the fax number. Enter federal identification number of the applicant.
- Item 2: Enter the grant term, **July 1, 2000 to June 30, 2003.**
- Item 3: Enter the budget amount requested for the **entire** grant term.

- Item 4: Indicate the location/geographic coverage of the project.
- Item 5: Check one or more of the **priority areas** that are included in the application.
- Item 6: Check one or more of the preferred interventions.
- Item 7: The applicant official authorized by the agency to sign on behalf of the agency must sign and date the certification statement provided. Also type the name and title of this official.

C. Application Checklist (Attachment 2)

The items included on the checklist are **required** to be submitted as part of the application and should be presented in the order noted. **If any of the following items are omitted from the application, the application will be considered incomplete and out of compliance with this RFA and will not be reviewed.** Complete the attached application checklist to ensure that all application attachments and required components are included.

D. Table of Contents (Attachment 3)

Applications must have a Table of Contents with page numbers referenced. Application sections must be presented in the sequence shown on the Application Checklist (Attachment 2).

E. Narrative (No Attachment Provided, 15-page maximum - 20 points). Please submit six additional copies of the narrative in addition to the six copies of the full application.

Prepare a narrative section that provides the following information:

1. Community Profile and Target Group(s) To Be Served

Describe the relevant demographic, geographic, and political/cultural characteristics of your community, such as: 1) racial/ethnic composition of your community; 2) major population centers; 3) urban/rural factors; 4) major media outlets (e.g., radio and tv stations, newspapers); and 5) the number of school districts and the estimated total size of the school population in the area to be served.

Describe the historical, political, economic, and socio-cultural influences that will facilitate or challenge the implementation of the proposed project. Describe the target group(s) to be served, utilizing relevant data to describe the group's needs with respect to tobacco control issues in the community.

For this section, we are interested in you "bringing to life" the tobacco issues and experiences facing your target group and community. While State and Federal data

regarding tobacco control issues is needed when conceptualizing intervention strategies, we are particularly interested in learning more about the unique aspects of your community and target group in order to place the proposed project into context.

2. Proposed Scope of Work Summary

Summarize the proposed Scope of Work by the three CDHS/TCS priority areas. For each objective indicate the priority area and describe:

- a. The interventions and expected outcomes.
- b. The rationale for the chosen intervention. (e.g., Explain your theory of change. Why did you select the strategies and approaches and why do you think they are appropriate and will result in achieving the expected outcome(s) defined in the objective.)
- c. The evaluation design and methodology. (e.g., What will be measured and how?)

3. Acknowledgement of Communication with CDHS/TCS Funded Projects (Attachment 4)

a. Purpose

The purpose of the Acknowledgement of Communication with CDHS/TCS Funded Projects Form is to confirm that applicants discussed their application with appropriate LLAs, Regional Community Linkage Projects, Ethnic Networks, and other statewide or local projects to facilitate coordination, and avoid duplication. Applicants should discuss similarities with existing efforts and potential contamination of control groups. Completed forms must be included in the application. Completed forms sent separately from the application will not be reviewed. Please note the cities of Berkeley, Long Beach and Pasadena are also LLAs.

The Acknowledgement of Communication with CDHS/TCS Funded Projects form is to be completed by each LLA and Regional Community Linkage Project that will be part of the service area for the proposed project. In addition, when appropriate, the form is to be completed by the Ethnic Network representing the ethnic group being served and other statewide or local projects for which there is a need to coordinate and collaborate or for which there may be a perception of duplication.

4. Letter from the Evaluation Consultant

Provide a letter from the evaluation consultant describing their involvement in the development of the application and the evaluation plan.

F. Applicant Capability (No attachment, 10-page maximum, not including letters of reference - 25 points)

Address the following items:

1. Program/Evaluation Experience

- a. Describe the applicant's experience in community organizing, community planning, health education and promotion, coalition building, consensus building, advocacy, media, training, and tobacco control activities.
- b. Describe three successful norm change strategies implemented by the agency.
- c. Describe the applicant's capability and resources to ensure timely start-up and implementation of the proposed project. Describe how the proposed project will be integrated into the agency's organizational structure.
- d. Describe the applicant's experience with the population(s) to be served and its ability to provide culturally appropriate tobacco control services.
- e. Describe the qualifications of key program staff (including staff or consultants responsible for the program evaluation). Describe their educational background and previous experience with the types of activities to be conducted such as community organization, community planning, health education, report writing, media advocacy, policy, etc. **Do not attach résumés.**
- f. If the applicant agency is currently funded by CDHS/TCS, state three major accomplishments resulting from CDHS/TCS funding, which demonstrate your effectiveness and capacity to provide tobacco control services. Include dates of funding period.

2. Administrative/Fiscal Experience

- a. Describe the applicant's current administrative staffing pattern for activities such as payroll, bookkeeping, invoicing, and general tracking of administrative and fiscal controls. Describe the qualifications of key fiscal staff, including a description of the staff's experience with monitoring government grant funds. **Do not attach résumés.**
- b. Describe the applicant's history in the last two years managing state government grant funds. Include in the description the funding agency, the amount received, and how the grants were managed, i.e., were the grant deliverables accomplished, were progress reports and invoices submitted in a timely fashion, and were fiscal records in good standing.

- c. Describe the applicant's internal audit history in the past two years.
- d. Describe the frequency of audits, date of last audit, and a summary of the major findings from the last audit.
- e. Indicate if the applicant has been audited by a State agency within the last two years. If yes, list: 1) the name of the State agency; 2) State agency contact person and phone number; 3) the year the audit was conducted; and 4) the outcome of the audit. CDHS/TCS reserves the right, at its sole discretion, to follow up with references by telephone to confirm the audit history.

3. Equipment

Describe the office and computer equipment the applicant has available for use in this project. Include in the description: a) the number and type of equipment available, i.e., desks, chairs, typewriters, facsimile machines, personal computers, printers, etc.; b) whether or not the computers have modems and communications software; c) the software packages your agency uses for word processing, spreadsheets, databases, etc.; and d) approximately when the computer equipment was purchased, and its availability for use in this project, if funded.

4. Letters of Reference

Solicit and include three (3) letters of reference and attach them immediately following the agency capability narrative. Number these letters consecutively as part of the application. No more than three letters will be accepted. The letters of reference are to include the following:

- a. A description of the capacity in which the reference worked with the applicant.
- b. The applicant's ability to work with the community/target population.
- c. The applicant's experience in community health education, organizing, and planning.
- d. The applicant's fiscal and administrative ability to manage government grant funds, including submission of reports and general compliance with funding agency policies.

The letters are to be on the reference agency's letterhead and should include the address, telephone number, name, and title of the letter's author. If the applicant has in the past or is currently receiving funding from either a local, state or federal agency, other than CDHS/TCS, one of the references must be from one of these agencies.

Letters should not be sent directly to CDHS/TCS and will not be accepted after the application is submitted. **CDHS/TCS reserves the right, at its sole discretion, to contact references for further information.**

G. Scope of Work, Parts I and II, including evaluation (Attachments 5 & 6 - 40 points)

1. Overview

- a. There are two parts to the Scope of Work. Part I describes specific steps and timeline of the project in outline format. Part II provides a quantified list of the project deliverables.
- b. The seven column Scope of Work format must be used by all grantees to ensure consistency for review purposes by CDHS/TCS staff and reviewers. **Plans presented using a format other than that described below will NOT be reviewed.**
- c. Carefully follow the Scope of Work requirements and preferences for funding. Provide all the required information and the detail necessary to make the proposed project clear. Applicants must provide all the required information as detailed in the instructions provided in this document.
- d. The Scope of Work provides the basis for grant negotiations and, along with the Budget, becomes a legally binding document. The Scope of Work is referenced in the grant and is the "road map" that provides the direction, activities, and expected outcomes of the project. The approved Scope of Work and any subsequent revision is incorporated and made part of the grant. The Scope of Work can only be changed with prior approval from CDHS/TCS.
- e. The Budget and Budget Justification should closely correspond to the Scope of Work activities, deliverables, and timelines. For example, if production of a radio ad is described in the Scope of Work, funds should be budgeted for creative development, production, and placement of the ad. If promotional items are to be distributed to store owners, these should be described in the Scope of Work and Budget.

2. Instructions for Completing Scope of Work, Part I

Complete the Scope of Work Part I using the following instructions. Refer to Appendix E for sample format. (See Attachment 5 for a blank form for the Scope of Work, Part I).

a. Header Information

The header information must be included on every page. Include your agency name and project name. The contract term is July 1, 2000 to June 30, 2003. The revision date is the date the plan is submitted to TCS (February 8, 2000). Leave the grant number and Progress Report Period blank.

b. Column #1: Objectives /Activities/ Evaluation

- 1) **Priority** -- At the top of the column state the priority area for each objective (e.g., ETS, Youth Access, or Countering Pro-Tobacco Influences). Each selected priority area may have more than one objective.
- 2) **Outcome Objectives** -- For each of the priority areas you select, present at least one outcome objective. See Appendix F for tips on writing outcome objectives.
- 3) **Activities** -- Use an outline format to describe the activities to be conducted to achieve the objective. It is recommended that applicants organize the activities under an objective by categories such as, "Education," "Community Mobilization," "Media," "Policy," etc., with activities listed chronologically within each category. The evaluation activities must be categorized separately under "Outcome Evaluation."

a) Describe the methods

Methods may include: presentations, letter writing, conducting public hearings or forums, use of media, etc. Describe the curriculum to be used or major content areas.

b) Describe incentive items

Tobacco education projects may use incentives to reinforce or motivate a behavior change. They should only be given to participants attaining a pre-specified goal. If you plan to use incentives, identify the types of items you intend to use and how they will be used. If you do not know the exact incentive item you will be using, list possible examples (e.g., "incentive items, such as gift certificates, t-shirts, or mugs"). Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on the use of incentives.

c) Describe promotional items

Promotional items are used to generate visibility and interest in the program. They generally include items such as buttons, key chains, stickers, posters, or inexpensive visors. Promotional items should be used in a planned

manner and should generally require some action on the part of the receiver (e.g., complete a tobacco industry knowledge quiz). If you plan to use promotional items in your program, identify the items and how they will be used in the appropriate area of the Scope of Work. If you do not know the exact promotional item you will be using, list possible examples (e.g., “promotional items, such as, buttons, key chains, or magnets”). Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on the use of promotional items.

d) *Describe Educational Materials Development*

This includes creating, printing, and disseminating educational materials such as pamphlets, curricula, flash cards, videos, etc. If you plan to develop educational materials, describe the format of the piece (video, pamphlet, etc.), content, length in pages or time (a range, such as 25 to 30 pages or 5 to 10 minutes is appropriate), who the target audience is, and the number to be printed or produced (again, a range is appropriate). For example, “Produce a 10 to 15 minute video targeting policy makers and addressing environmental tobacco smoke issues. Policy makers will provide input on content emphasis and will review the script. 20-50 copies of the video will be produced and distributed locally to all policy makers.” Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on educational materials development.

e) *Describe Media Activities*

Describe the media to be used to support program efforts (e.g., electronic, outdoor, newspaper, public relations, etc.). Include the length of the public service announcements (PSAs) and paid ads, and the number of times they will be aired. For billboards, indicate the number of months they will be displayed. Refer to Policy Section, Chapter 500 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on integrating media activities.

f) *Indicate How Much Will Be Done*

Quantify the amount of work to be performed in order to help justify the budget request. You are encouraged to use ranges. Indicate the length, frequency, and number of trainings, educational materials, etc. For example, 10 to 15, 4 to 6 hour peer teacher trainings.

g) *Indicate Where Activities Occur*

Indicate, where appropriate, the geographic location or site where activities will occur, e.g., Bedrock County, housing projects, retail stores, rodeos.

4) **Outcome Evaluation Activities** - In bulleted statements describe the evaluation design, methodology, data collection, data analysis, and plan for disseminating evaluation findings. Please note this is part of the Scope of Work and is not a separate document. Be sure to address the following areas:

- Information on what is expected to change or what will be measured (e.g., policy, number of ads or stores, etc.).
- The instruments to be used for data collection (e.g., surveys, etc.).
- Information on how the data will be collected (e.g., through the mail, by phone, in person, observational, etc.).
- The location where the data will be collected (e.g., homes, malls, schools, tobacco retail outlets, the name of specific communities, etc.).
- The number to be measured (e.g., sample size - number of stores, number of persons, number of households, etc.).
- Information on how the sample will be selected (e.g., simple random, random clusters, purposive, convenience, etc.).
- The type of analysis to be used (e.g., comparison over time or with other groups, or with a control group, etc.).
- Information on how the results will be disseminated (e.g., paper submitted for publication, posted on PARTNERS, provision of training, etc.).

c. Column #2: Start/End Date

Indicate the time frame during which each program and evaluation activity will be completed in a sequential order. Give a targeted start and end date. This will be useful in budgeting staff time, and overall project planning. Do not give the entire plan period as the start and end date for each activity.

d. Column #3: Who is Responsible

Indicate the position responsible for each program and evaluation activity. This may include program staff, volunteers, coalition members, consultants, or subcontractors. Indicate the **specific position**, such as Project Director or Evaluator. You may abbreviate position titles (e.g., HE for Health Educator). Provide a key to identify position titles if using acronyms. Do not include agencies or individuals that **are not** within your control (e.g. city officials, schools, etc.).

e. Column #4: Tracking Measures

List the items that are used to document and verify that program and evaluation activities are completed. These range from sign-in sheets, meeting logs, and press releases, to more complex measures such as focus group findings, survey instruments and survey results. These measures verify that the activity occurred and provide supporting documentation for the progress report.

f. Column #5-7: For Progress Report Use Only

These columns should be left blank. They are used only for completing progress reports.

3. Instructions for Completing Scope of Work, Part II

Complete the Scope of Work Part II using the following instructions.
(See Attachment 6 for a blank form.)

a. Header Information

Complete the header as you did for the Scope of Work, Part I. Number the pages of the Scope of Work, Part II as a continuation of the last page in the Scope of Work, Part I. For example, if the last page of the Scope of Work, Part I is 10 of 13, the first page of the Scope of Work, Part II should be 11 of 13.

b. Column #1: Summary List of Major Program Deliverables

The purpose of the Scope of Work, Part II is to concisely summarize and quantify the deliverables in Scope of Work, Part I. **Briefly restate each objective and underneath the objective, list the major deliverables in their order of appearance in the Scope of Work, Part I. The deliverables should be listed in sequential order (i.e., 1, 2, 3 etc.) by objective, as they appear in the Scope of Work, Part I.** In general, the deliverables reflect products and services developed or conducted under the contract. In addition, deliverables may include activities and materials, such as presentations, trainings, incentives and promotional items developed, educational materials developed, surveys and focus groups conducted, paid radio or TV ads, etc. Quantify all deliverables (this can be a range of how many items, hours, days, etc.). Do not include those activities which help lead to achievement of the major program deliverables, such as planning meetings, developing award criteria for a poster contest, creating a task force, attending coalition meetings, or participating in CDHS/TCS trainings. **Tangible, concrete deliverables are the only items to be listed in the Scope of Work, Part II.**

c. Column #2: ©

Place a copyright sign (©) next to each program deliverable that is subject to copyright laws. This includes such deliverables as educational materials, advertising, data, etc. Refer to Appendix D for more information regarding copyright of materials produced.

d. Column #3: %

For each major program deliverable, indicate the programmatic value by percent of that deliverable in terms of staff and budget resources. This column must total 100 percent. All activities and deliverables specified in the Scope of Work must be fully and satisfactorily performed or produced in order for the grantee to receive the maximum award negotiated with CDHS/TCS. If at the end of the grant term, CDHS/TCS determines that any activity or deliverable was not fulfilled in its entirety or the quality of the product was unsatisfactory, CDHS/TCS will reduce the maximum amount payable to the grantee according to the percentage of work not completed. The Scope of Work, Part II is used to help ascertain and calculate the maximum amount the grantee should be paid at the end of the grant term should the Scope of Work, Part I not be completed in its entirety.

e. Column #4: Health Education Consultant's/Health Program Advisor's Contract Closeout Notes

Do not complete this column. This is the column that CDHS/TCS Health Education Consultant/Health Program Advisor uses when reviewing the final progress report to determine if program deliverables were completed as stated.

H. Budget Section (15 points)

This section provides information and instructions on the Budget and Budget Justification that must be included in your application.

1. Budget/Budget Justification Funding Preference

Funding preference shall be given to applicants that:

- a. Submit reasonable Budgets for the proposed quality and quantity of activities in the Scope of Work;
- b. Propose reasonable personnel and consultant costs, given the qualifications of the individuals and needs of the project;
- c. Propose salaries and consultant fees consistent with comparable State civil services positions; and

- d. Provide the level of detail requested in the Budget and Budget Justification instructions.

2. Budget Instructions

The Budget is a summary of the expenses described in the Budget Justification. It must be realistic, cost-effective, and appropriate to the proposed Scope of Work. The Budget is the controlling mechanism for expenditures and the basis for approval of invoices.

Prepare one Budget for the entire grant term, which is July 1, 2000 through June 30, 2003. This Budget must also reflect individual budgets for each FY within the grant term. Only use whole numbers and round to the nearest dollar. Please refer to Appendix G for the required Budget format.

Once approved, the Budget will be incorporated into the grant.

The Budget consists of nine (9) categories: A. Personnel Costs; B. Fringe Benefits; C. Operating Expenses; D. Equipment Expenses; E. Travel/Per Diem and Training; F. Subcontracts and Consultants; G. Other Costs; H. Total Direct Expenses; and I. Indirect Expenses.

The Subcontracts and Consultants and Other Costs categories may contain several line items with associated costs. Each line item within these two categories must be itemized in the Budget and Budget Justification.

3. Budget Justification Instructions

The Budget Justification: 1) describes and justifies the expenditures associated with the activities in the Scope of Work, and 2) helps evaluate the Scope of Work and Budget. Prepare one Budget Justification for the entire grant term. Only use whole numbers and round to the nearest dollar. The amounts in the Budget columns and Budget Justification must be the same. Please refer to Appendix H for the required Budget Justification format. This format is required to maintain a standardized review and audit trail.

When preparing the Budget Justification, take into consideration changes that may occur due to programmatic or administrative needs. For example, the number of staff increase/decrease as program intensity fluctuates.

a. Personnel Costs

This category of the Budget Justification provides detail on the following:

1) Position Title:

List all classifications or functional titles for positions for this grant. Management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper, etc.) budgeted at less than 10 percent should not be included in the Personnel Costs category, but should be included in the Indirect Expenses category. Any applicant having an established policy that includes such positions in the Personnel Costs category shall so indicate and attach a copy of the policy to the Budget Justification.

2) Salary Range:

Identify the actual salary range and the frequency of pay periods (monthly, semi-monthly, bi-weekly, weekly, hourly) for each position. The salary range shall reflect the frequency that the employee is actually paid.

Indicate the salary range for each position based on the full-time salary, regardless of the actual time base budgeted. Each salary range shall allow for anticipated salary increases (e.g., merit salary adjustments, bilingual pay, etc.) through the end of the grant term.

Salaries shall not exceed those paid to State personnel for similar positions/classifications. Please refer to Appendix I, Comparable State Civil Service Classifications.

If any salary exceeds the comparable State salary range, then justify the excess. Any such justification shall be approved in writing by the State. CDHS/TCS may request additional information during grant negotiations.

3) Percent of Time:

For each position indicate the percentage of time, using whole numbers, or the total hours per pay period. If the amount of time for a position varies from month to month, then indicate a percentage range of the time base.

4) Pay Periods:

Indicate the number of pay periods for which payment shall be claimed. Pay periods are defined as follows:

Monthly = 12 pay periods per year
Semi-monthly = 24 pay periods per year
Bi-monthly = 26 pay periods per year
Weekly = 52 pay periods per year
Hourly = "X" number of hours per year

5) Amount Requested:

Calculate and list the Amount Requested by FY for each position. (Salary X percent of time X number of pay periods = Total Salary). Add the total salaries for each position to obtain the Total for Grant Term. Please refer to Appendix H, Budget Justification.

Please note that the total salary for each position has two restrictions.

- a) The total salary **cannot be less** than the amount computed by multiplying the lowest amount within the salary range X the lowest percentage of time X the lowest number of pay periods.

AND

- b) The total salary **cannot be greater** than the amount computed by multiplying the highest amount within the salary range X the highest percentage of time X the highest number of pay periods.

6) Description of Duties:

Provide a summary of the responsibilities for each position. Indicate the position(s) responsible for the evaluation activities.

7) Total Personnel Costs:

Add the amount budgeted for each position to compute the Total Personnel Costs for each FY and the grant term.

b. Fringe Benefits

Fringe benefits do not include employee leave, i.e., annual leave, vacation, sick leave, holidays, jury duty, and/or military leave training. Include employee leave in the salary paid to the employee.

List the benefits that your agency provides. Indicate the percentage rate and dollar amount requested for Fringe Benefits. If the percentage rate for benefits differs for various positions, indicate the low and high range, e.g., 20-25 percent.

If applicable, identify the positions that do not receive benefits with an asterisk (*).

Total Personnel Expenses

Add the Total Personnel Costs and Fringe Benefits to compute the Total Personnel Expenses for each FY and the grant term.

c. Operating Expenses

Provide a summary of non-personnel expenses that are not chargeable to Indirect Expenses and indicate the budgeted amount for each line item.

Operating Expenses include, but are not limited to, the following line items:

1) General Expenses:

- a) Office Supplies -- Office supplies refer to general supplies such as pens, pencils, paper, etc.
- b) Postage -- Postage includes all mailing expenses.
- c) Duplicating -- Duplicating refers to photocopying expenses or reproduction costs of printed materials for small office jobs. This sub-line item also includes the tobacco project's share of the applicant's copy machine usage and costs for copier maintenance agreements and copier supplies.

2) Communications:

Communications refer to the monthly charges and installation costs associated with the telephone system. This may also include costs for FAX lines and Internet accesses.

Cellular phones and monthly access fees are not authorized for this grant.

Pagers and monthly fees may be authorized. Pagers will be considered on an individual basis and is dependent upon the need of the applicant and approval of CDHS/TCS.

All funded grantees are required to obtain and maintain an active PARTNERS (TCS Communications Network) account. While there is no charge for this subscription, your agency must budget for an Internet provider. Internet access fees are generally \$20-\$25 per month. Budget monthly fees for Internet access fees during the grant term. A modem is required to access PARTNERS and the purchase of a modem may be budgeted in the Equipment category.

3) Printing:

Printing refers to the reproduction costs of training guides, business cards, brochures, posters, etc. for larger jobs and is usually completed by outside vendors.

4) Space Rent/Lease:

Square footage shall not exceed 150 square feet per full-time equivalent (FTE) plus “reasonable” square footage for shared space such as conference rooms, storage space, etc.

Provide the total number of square feet and the budgeted amount to be charged to this grant. Consider any rate increases during the grant term.

Example:

2 staff X 150 sq. ft. X \$1.00/sq. ft. X 24 mo. = \$ 7,200 (Yr. 1 and 2)
2 staff X 150 sq. ft. X \$1.25/sq. ft. X 12 mo. = 4,500 (Yr. 3)
Total for 36 mo. = \$11,700

If the total square footage per FTE exceeds State standards, then justify the need for the additional space.

5) Equipment Rental:

List all rental equipment, quantify each item, and provide for each item the monthly rental rate, number of rental months, and the approximate dollar amount.

NOTE: “Renting/Leasing to own, Purchase/Leaseback, and Lease/Purchase” of equipment is not allowed.

6) Audit Expenses:

All CDHS/TCS funded grantees are required to conduct an annual Financial and Compliance audit. The budgeted amount should represent the proportionate amount of this grant in relationship to your business' total revenue. For example, if this grant represents 10 percent of your business' total revenue, then this grant would be responsible for no more than 10 percent of the total annual audit costs.

Provide the dollar amount allocated for the audit, the calculation for this amount, and the percentage this grant represents of your business' total revenue. Also identify the FY in which you operate (e.g., July 1 through June 30).

This Audit Expense line item plus the Indirect Expenses line item cannot exceed 25 percent of your Total Personnel Expenses (Personnel Costs plus Fringe Benefits).

Audit costs may be budgeted in this line item or in Indirect Expenses. Grantees choosing not to allocate funds for audit purposes must provide a written justification explaining their compliance with the audit requirement.

7) Total Operating Expenses:

Add all Operating Expense line items to compute the Total Operating Expenses for each FY and the grant term.

d. Equipment Expenses

Equipment expenses include the purchases of all computer and office equipment. Due to the anticipated limited funding amount of grant awards from this RFA, equipment purchases will be considered on an individual basis and will depend upon the need of the applicant and approval of CDHS/TCS.

Computer equipment includes, but is not limited to, personal computers, software, printers, scanners, external Zip drives, external hard drives and replacements, external modems, and uninterrupted computer power supply adapters.

Office equipment includes, but is not limited to, desks, conference tables, chairs, conference call speakers, telephones, fax machines, and cameras. Refer to Policy Section, Chapter 400 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on equipment purchases.

List all equipment purchases, quantify each item, and provide the approximate dollar amount. Justify the need for each equipment purchase.

e. Travel/Per Diem and Training

Travel and training are to be consistent with the needs of the tobacco control project and support the Scope of Work. Travel expenses are reimbursed at the current State Department of Personnel Administration (DPA) rates. Please refer to Appendix J, Travel Reimbursement Information.

Additionally, State funds may not be used for per diem and trainings/conferences associated with out-of state travel without prior written approval by CDHS/TCS.

1) Local Travel/Training:

a) Local Travel:

Local travel expenses include airfare, meals, lodging, incidental expenses and mileage. This line item may include mileage for project-related activities (e.g., to conduct local surveys of in-store tobacco advertising, to attend local, Regional, or Ethnic Network meetings or trainings, etc.).

Provide the dollar amount requested for local travel that is directly related to completion of the Scope of Work.

b) Local Training:

Local training costs include registration fees for staff development or any other additional training events for professional, clerical, and administrative personnel; advisory board members; youth volunteers; committee members; etc. necessary for the completion of activities in the Scope of Work. Trainings may include courses on computer software, meeting facilitation, planning, leadership, etc.

Whenever possible, identify the training/conference, its location and date(s), the number of individuals attending, and the total cost to attend.

Provide the dollar amount requested for local training costs that are related to completion of the Scope of Work.

2) CDHS/TCS Travel and Training/Conferences:

a) General Description:

Number of Trainings/Conferences: CDHS/TCS and its statewide contractors (e.g., Tobacco Education Clearinghouse of California, statewide public relations contractor, BREATH, Ethnic Networks, and others) typically conduct 12-14 trainings/conferences each year.

These trainings/conferences are specifically directed toward CDHS/TCS-funded projects; provide opportunities for project staff to learn from national, state, and local experts regarding evaluation, media, and advocacy; and are a means to be connected to California's larger tobacco control movement.

Length of Trainings/Conferences: Each training/conference is usually 1-2 days. A statewide conference may be 2-3 days.

Training/Conference Topics: Topics generally cover a broad range such as educational materials development, youth advocacy, in-store advertising strategies, youth access to tobacco issues, coalitions, smoke-free bars, chew/dip and cigar tobacco, transnational tobacco issues, evaluation, and spokesperson training.

Training Sites: Each training is usually offered only once. Some other trainings are offered twice: one in Northern California (Bay Area or Sacramento counties) and another in Southern California (Los Angeles, Orange, or San Diego counties).

b) Travel/Training Budget Guidelines:

Required CDHS/TCS Trainings/Conferences

(1) New Grantee Orientation:

This is a one-day session for the project director, the project evaluator, and the person who is responsible for fiscal matters. This event occurs in Year 1 only and is repeated in two different locations, usually one each in Northern California and Southern California.

Budget \$200 per person (\$125 for travel/per diem and \$125 for registration) for 3 people to attend.

(2) Project Directors' Conference/Evaluation Showcase:

This annual event is typically a 3-day conference for 1-3 program and evaluation staff/consultants.

Budget \$1200 per person (\$1000 for travel/per diem and \$200 for registration) for a maximum of 2 people to attend. The \$1000 for travel/per diem includes 2-3 nights of lodging and airfare.

(3) Trainings/Conferences Required by CDHS/TCS and Statewide Contractors:

CDHS/TCS requires attendance at 5-10 trainings/conferences per year. Each is usually 1-2 days for 1-2 program/evaluation staff.

Budget \$325 per person (\$250 for travel/per diem and \$125 for registration) for each person to attend 5-10 trainings/conferences.

f. Subcontracts and Consultants

Subcontracts and Consultants include both subcontractor agreements and consultant agreements. CDHS/TCS must review and approve **any** agreement costing \$5,000 or more.

A subcontractor is an individual or organization who performs a specialized task that is directly related to providing project services. Typical services provided by a subcontractor are conducting local surveys, developing anti-tobacco use education materials, coordinating large anti-tobacco use education events, etc. The use of subcontractors must be clearly defined in the Scope of Work.

A consultant is an individual whose level or area of expertise relating to the target population extends beyond that possessed by the applicant's project staff. Typical services provided by a consultant are advice on programmatic issues such as program evaluation, group facilitation, in-service training, program design and development, etc. Consultants are to be used only for activities directly related to the tobacco education and prevention program. The use of consultants must be clearly defined in the Scope of Work.

The rate paid to a consultant should be commensurate with his/her level of training, expertise, and national recognition. Every effort should be made to negotiate the lowest possible rate.

Salaries paid to a subcontractor or consultant shall not exceed those paid to State personnel for similar positions/classifications. Refer to Appendix I, Comparable State Civil Service Classifications.

List each subcontractor and consultant and provide the budgeted amount, contract term, and description of services for each.

g. Other Costs

1) Educational Materials:

This line item includes the purchase of brochures, pamphlets, posters, curriculum, training guides, videos, slides, flip charts, etc., necessary for program activities. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on educational materials.

Provide a list of educational materials and the total amount requested. Do not itemize; use broad categories and estimates only.

2) Promotional Items and Incentives:

a) Promotional Items:

These are inexpensive miscellaneous items (e.g., buttons, key chains, stickers, posters, etc.) given to individuals in order to generate visibility and interest, to increase public awareness, and to promote attitudes which support tobacco control activities in the community. The use of promotional items must be referenced in the Scope of Work. Refer to Policy Section, Chapter 300 on the CDHS/TCS website: www.dhs.ca.gov/tobacco for more information on promotional items and incentives.

Provide a list of promotional items and the total amount requested. Do not itemize or give details of quantity, cost or subtotal for each item.

b) Incentives (Not To Exceed \$40 Per Participant Per Year):

These are rewards or awards given to intervention participants to reinforce a positive behavior change. Incentives cannot exceed \$40 worth of merchandise per person per year. **Cash rewards or awards are not permitted.** The use of incentives must be referenced in the Scope of Work.

Provide a list of incentives and the total amount requested. Do not itemize or give details of quantity, cost or subtotal for each item.

3) Media, Public Relations, and Advertising:

This line item may include the development, purchase, or placement of public service announcements (PSAs), paid advertisements on radio, television, newspaper, magazines, billboards, bus shelter ads, organizational newsletters, and neighborhood advertising papers. Development of PSAs, radio, television, and print advertisements may be budgeted either in this line item or in the Subcontracts and Consultants category. All planned media must be referenced in the Scope of Work.

Provide a list of the planned media that supports activities in the Scope of Work and the total amount requested.

4) Additional Expenses:

This line item allows for expenditures that otherwise are not listed in this sample Budget Justification. If you use line items under Additional Expenses, then list them individually and be specific. e.g., fees for renting a meeting room to conduct training or renting a booth at a health fair, etc. All expenditures for items listed under Additional Expenses must also be referenced in the Scope of Work.

Provide justification and the amount requested for each additional line item.

5) Total Other Costs:

Add all Other Costs to line items compute the Total Other Costs for each FY and the grant term.

h. Total Direct Expenses

Add Total Personnel Expenses, Operating Expenses, Equipment Expenses, Travel/Per Diem and Training, Subcontracts and Consultants, and Total Other Costs to compute the Total Direct Expenses for each FY and the grant term.

i. Indirect Expenses

Indirect Expenses are costs that are not directly associated with the project's deliverables. Examples of Indirect Expenses are: management and fiscal personnel (e.g., Executive Director, Deputy Director, Attorney, Bookkeeper), bookkeeping and payroll services, utilities, building and equipment maintenance, janitorial services, insurance costs and any expenses related to the mandatory annual Financial and Compliance audit.

Provide a list of all Indirect Expenses charged to this grant and the dollar amount requested. **Indirect Expenses CANNOT EXCEED 25 percent of the Total Personnel Expenses (Personnel Costs plus Fringe Benefits).**

Total Expenses

Add Total Direct Expenses and Indirect Expenses to compute Total Expenses for each FY and the grant term.

4. **Evaluation Synopsis**

Provide a brief synopsis at the end of the Budget Justification (after Total Expenses) on the ten (10) percent requirement for evaluation activities. Include the following in the evaluation synopsis:

- a. a list of all line items that will have any evaluation expenses;
- b. the dollar amount of the evaluation expenses per line item; and
- c. the total amount budgeted for evaluation.

Consider the following factors when determining the evaluation budget.

- a. at least ten (10) percent of a lead staff person's time is required to oversee and coordinate the evaluation activities;

- b. the expenses for an evaluation consultant or subcontractor; and any operating expenses (such as duplicating, posting on PARTNERS, etc.) related to the evaluation activities.

Example of synopsis:

The amount of \$400,000 is requested for this grant term. Therefore, a minimum of \$40,000 is budgeted to meet the ten (10) percent evaluation requirement.

a. Personnel:

Project Director: Budget \$8,400 for 10 percent of the Project Director's time for the 36 months of the grant term;

Temporary Help: Budget \$1,500 (188 hours x \$8.00 per hour) for temporary help to input data;

- b. Operating Expenses: Budget \$3,000 for dissemination of evaluation findings (posting on PARTNERS, duplicating, mailing, etc.); and

- c. Subcontracts and Consultants: Budget \$27,100 to hire an Evaluation Consultant for approximately 620 hours.

10 percent Evaluation Allocation = \$40,000.

I. Additional Required Forms

1. Additional Documents

The following documents requires Completion/Signature by the person authorized to bind the application agency.

- a. Drug Free Workplace Certification
- b. Agency Documentation Requirements
- c. Proof of Non-Profit Status

California public or private nonprofit organizations are eligible to apply for funds. For those applicants claiming private nonprofit status, a certification from the State of California, Office of Secretary of State, or a letter from the Department of the Treasury, IRS classifying the applicant as a private nonprofit must be included with the application (See Sample Form, Appendices A and B).

VIII. TABLE OF CONTENTS FOR ENCLOSED ATTACHMENTS

ATTACHMENT	PAGE
1. APPLICATION COVER SHEET	48
2. APPLICATION CHECKLIST	49
3. TABLE OF CONTENTS.....	50
4. ACKNOWLEDGEMENT OF COMMUNICATION WITH CDHS/TCS FUNDED PROJECTS FORM	51
5. SCOPE OF WORK, PART I	52
6. SCOPE OF WORK, PART II	53
7. DRUG-FREE WORKPLACE CERTIFICATION	54
8. AGENCY DOCUMENTATION REQUIREMENTS	55

COVER SHEET: RFA TCS-00-100 Local Tobacco Control Interventions

6. Applicant Information:

Applicant Name _____

Project Name _____

Mailing Address _____

City _____ Zip _____

County _____

Contact Person's Name _____

Telephone (_____) _____ FAX (_____) _____

E-mail _____

Federal Identification Number _____

2. Term of Grant: From 07/01/00 to 06/30/03

3. Total Budget Amount Requested for entire grant term of 07/01/00 to 06/30/03: _____

4. Location/and Geographic Coverage of Project: _____

5. Check one or more of the priority areas that are included in application:

_____ Environmental Tobacco Smoke _____ Countering Pro-Tobacco Influences
_____ Youth Access to Tobacco

6 Check one or more of the Preferred Interventions:

- ☐ Smoke-free areas ☐ Transnational tobacco
☐ Point-of-sale retail environment ☐ Activities involving 18-24 year olds
☐ Exposing and countering the Tobacco Industry
☐ General advocacy to promote tobacco control policy efforts

7. The undersigned hereby affirms that the statements contained in the application package are true and complete to the best of the applicant's knowledge and accepts as a condition of a grant, the obligation to comply with the applicable state and federal requirements, policies, standards, and regulations. The undersigned recognizes that this is a public document and open to public inspection. Person authorized by the Board to sign (e.g., Board of Directors, Superintendent of Schools, etc).

Signature
of Agency Representative _____ Date _____

Print Name and Title _____

APPLICATION CHECKLIST

The following attachments and components must be completed and submitted in the order shown here. Applications which are missing any of these attachments or components will be considered non-compliant and will not be reviewed. Please note that you are not required to submit the Application Checklist.

Attachments and Components

	<u>Check Mark</u>
• 6 copies of the application	_____
• 6 copies of the narrative	_____
➤ • Application Cover Sheet (Attachment 1)	_____
• Application Checklist (Attachment 2)	_____
• Table of Contents (Attachment 3)	_____
• Narrative – (No Attachment Provided, 15 page limit, not including the Acknowledgement of Communication with CDHS/TCS Funded Projects Form)	_____
• Community Profile and Target Group(s)	_____
• Proposed Scope of Work Summary	_____
➤ • Acknowledgement of Communication with CDHS/TCS Funded Projects Form (Attachment 4)	_____
• Letter from the Evaluation Consultant	_____
• Applicant Capability – (No Attachment, 10 page limit, not including Letters of Reference.)	_____
• Program Experience	_____
• Administrative/Fiscal Experience	_____
• Equipment	_____
• Letters of Reference (3 required)	_____
• Scope of Work, Parts I and II, including evaluation (Attachments 5 & 6)	_____
• Budget (No Attachment)	_____
• Budget Justification (No Attachment)	_____
➤ • Drug-Free Workplace Certification (Attachment 7)	_____
➤ • Agency Documentation Requirements (Attachment 8)	_____
• Proof of Non-Profit Status (No Attachment)	_____

NOTE: ➤ **DENOTES THE DOCUMENT REQUIRES A SIGNATURE BY THE PERSON AUTHORIZED TO BIND THE APPLICANT AGENCY. READ THE DOCUMENTS AND ALLOW TIME TO OBTAIN THE REQUIRED SIGNATURE.**

Local Tobacco Control Interventions

PAGE**TABLE OF CONTENTS**

1. Application Cover Sheet	
2. Application Check List	
3. Narrative	
4. Applicant Capability	
5. Scope of Work, Part I	
6. Scope of Work, Part II	
7. Budget	
8. Budget Justification	
9. Drug-Free Workplace Certification	
10. Agency Documentation Requirements	
11. Proof of Non-Profit Status	

ACKNOWLEDGEMENT OF COMMUNICATION WITH CDHS/TCS FUNDED PROJECTS FORM

This form is to be used to confirm that the applicant communicated with appropriate Local Lead Agencies, Regional Community Linkage Projects, Ethnic Networks, statewide projects, and other local projects regarding its proposed Scope of Work so as to coordinate and collaborate and avoid duplication of services. Please copy this form for Project Directors to complete. Requests for signatures must occur at least two weeks prior to the application due date.

Circle One: Local Lead Agency / Regional Community Linkage Project / Ethnic Network
Statewide Project / Other Local Project

Applicant/AgencyName: _____

I. Communication and Coordination/Collaboration

(To be completed by the Local Lead Agency/Regional Community Linkage/Ethnic Network/Statewide Project/Other Local Projects)

___ Yes, there has been adequate communication with the applicant agency to plan for coordination or collaboration where appropriate.

___ No, there has not been adequate communication to plan for coordination or collaboration, e.g., less than 2 weeks prior notifications.

If the applicant agency is planning to coordinate or collaborate with your agency, briefly describe how:

II. Duplication of Effort

(To be completed by the Local Lead Agency/Regional Community Linkage/Ethnic Network/Statewide Project/Other Local Projects)

___ No, there is no duplication of activities ___ Yes, there is duplication of activities

III. Signatures

Applicant Agency Signature: _____

Print Name: _____ Date: _____

Local Lead Agency/Regional Community Linkage/Ethnic Network/Statewide Project/Other
Local Projects Project Director

Signature: _____

Print Name: _____ Date: _____

Telephone Number _____

Exhibit C
Tobacco Control Section
Scope of Work/Workplan, Part I

Grant Number:

Agency Name:

Project Name:

Grant Term:

Revision Date:

Report Period:

Objectives/Activities/Evaluation	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only		
				Document Number/ Letter	Actual Date(s) Completed	TCS Use Only: Document Rec'd & Okay
Priority Area:						

* Indicates a change
+ On file in office

10/98

Page ____ of ____

EXHIBIT C

Tobacco Control Section
Scope of Work, Part II

Grant Number:

Grant Term:

Agency Name:

Revision Date:

Project Name:

<p style="text-align: center;">SUMMARY OF MAJOR PROGRAM DELIVERABLES List the deliverables in the order they appear in Scope of Work, Part I. Quantify and briefly describe the deliverables.</p>	©	%	Health Education Consultant's Contract Close Out Notes
<p>Objective:</p> <p>Deliverables:</p> <p>1.</p> <p>2.</p> <p>Etc.</p> <p>Objective:</p> <p>Deliverables:</p> <p>1.</p> <p>2.</p> <p>Etc.</p>			

© Indicates that the deliverable is subject to copyright laws. % Percentage of Programmatic Value

DRUG-FREE WORKPLACE CERTIFICATION

STD.21 (NEW 11-90)

COMPANY/ORGANIZATION NAME

The contractor or grant recipient named above hereby certifies compliance with Government Code Section 8355 in matters relating to providing a drug-free workplace. The above named contractor or grant recipient will:

1. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance is prohibited and specifying actions to be taken against employees for violations, as required by Government Code Section 8355(a).
2. Establish a Drug-Free Awareness Program as required by Government Code Section 8355(b), to inform employees about all of the following:
 - (a) The dangers of drug abuse in the workplace,
 - (b) The person's or organization's policy of maintaining a drug-free workplace,
 - (c) Any available counseling, rehabilitation and employee assistance programs, and
 - (d) Penalties that may be imposed upon employees for drug abuse violations.
3. Provide as required by Government Code Section 8355(c), that every employee who works on the proposed contract or grant:
 - (a) Will receive a copy of the company's drug-free policy statement, and
 - (b) Will agree to abide by the terms of the company's statement as a condition of employment on the contract or grant.

CERTIFICATION

I, the official named below, hereby swear that I am duly authorized legally to bind the contractor or grant recipient to the above described certification. I am fully aware that this certification, executed on the date and in the county below, is made under penalty of perjury under the laws of the State of California.

OFFICIAL'S NAME	
DATE EXECUTED	EXECUTED IN THE COUNTY OF
CONTRACTOR OR GRANT RECIPIENT SIGNATURE	
TITLE	
FEDERAL I.D. NUMBER	

91 6065.3

AGENCY DOCUMENTATION REQUIREMENTS

The California Department of Health Services may audit contracts at any time. The documentation required for each audit may typically include, but is not limited to the following:

Fiscal Records

- A. General Ledger, Journals, and Charts of Accounts
- B. Cash Receipts and Disbursements Journal with Supporting Documents
- C. Vendor Invoices to Support Expenditures
- D. Program Remittance Advices from State Controller
- E. Payroll Records, including, but not limited to personnel time sheets signed/dated by the employee and supervisor reflecting actual time worked on program.
- F. Travel Log, Employee Expense Claims and appropriate receipts
- G. Billing Records (Program Log)
- H. State and Federal Tax Withholding Records
- I. Financial Statements and Independent Auditor's of County Auditor's Report
- J. Computation of the Fringe Benefit of Fund Sources
- K. Agency wide Budget and Listing of Fund Sources
- L. Copies of Monthly Invoices to the State
- M. Copies of Reimbursement Warrants and Remittance Advices from the State
- N. Administrative Manuals such as Personnel Policies and Procedures, Travel Policies and Procedures

Program Records

- A. Project Application (submitted in response to this RFA)
- B. Contract and Contract Amendments
- C. TCS Competitive Grantee Administrative and Policy Manual
- D. Progress Reports and the Final Report
- E. Program Audit Reports of Site Visits
- F. Scope of Work, Parts I and II
- G. Correspondence Regarding the Contract and/or Subcontracts
- H. Program implementation records that document the number of people served, materials developed activities conducted, etc. These records may include, but are not limited to logs, sign-in sheets, meeting minutes, survey and evaluation data, etc.

Other Records

- A. Board of Director's Minutes and Articles of Incorporation
- B. Non-Profit Approval Letter/Certification
- C. Organization Chart (Agencywide) and Duty Statements
- D. Program Correspondence Files
- E. Other Program Audits of the Facility

AGENCY DOCUMENTATION REQUIREMENTS

ATTACHMENT 8
Page 2

I certify that the above will be available upon request by the CDHS, CDHS/TCS
Program/Contract Manager and/or Auditors.

Director of Agency:

Agency Financial Management Official:

Signature

Date

Signature

Date

Print Name and Title

Print Name and Title

IX. APPENDICES TABLE OF CONTENTS

APPENDIX	PAGE
A. Certification Application (Statement Domestic Nonprofit Corporation).....	58
B. Department of Treasury IRS Form L-178	60
C. Directions to the Tobacco Control Section	63
D. Copyright and Ownership of Materials	65
E. Scope of Work Part I, Instructions Overview	68
F. Tips for Writing Outcome Objectives.....	69
G. Budget Sample	70
H. Budget Justification Sample	71
I. Comparable State Civil Service Classifications.....	72
J. Travel Reimbursement Information (CMU Bulletin-01).....	73



State of California

Bill Jones

Secretary of State

P.O. Box 944230
Sacramento, CA 94244-2300
(916) 657-3537

STATEMENT BY DOMESTIC NONPROFIT CORPORATION

THIS STATEMENT MUST BE FILED WITH THE
CALIFORNIA SECRETARY OF STATE (SECTION 6210, 8210, 9660 CORPORATIONS CODE)

A \$10 FILING FEE MUST ACCOMPANY THIS STATEMENT

1.

DO NOT ALTER PREPRINTED NAME: IF ITEM 1 IS BLANK, PLEASE ENTER CORPORATE NAME AND NUMBER

DO NOT MARK IN THIS SPACE

PLEASE READ INSTRUCTIONS ON BACK OF FORM.

PLEASE TYPE OR USE BLACK INK WHICH WILL BE SUITABLE FOR MICROFILMING.

THE CALIFORNIA CORPORATION NAMED HEREIN, MAKES THE FOLLOWING STATEMENT

2. STREET ADDRESS OF PRINCIPAL OFFICE (IF NONE, COMPLETE 3-3B) (DO NOT USE P.O. BOX NO.)	SUITE OR ROOM	2A. CITY AND STATE	2B. ZIP CODE
3. MAILING ADDRESS	SUITE OR ROOM	3A. CITY AND STATE	3B. ZIP CODE

THE NAMES OF THE FOLLOWING OFFICERS ARE:

4. CHIEF EXECUTIVE OFFICER	4A. STREET ADDRESS (SEE REVERSE SIDE)	4B. CITY AND STATE	4C. ZIP CODE
5. SECRETARY	5A. STREET ADDRESS (SEE REVERSE SIDE)	5B. CITY AND STATE	5C. ZIP CODE
6. CHIEF FINANCIAL OFFICER	6A. STREET ADDRESS (SEE REVERSE SIDE)	6B. CITY AND STATE	6C. ZIP CODE

DESIGNATED AGENT FOR SERVICE OF PROCESS: (ONE AGENT IS REQUIRED BY CALIFORNIA STATUTORY PROVISION.
PLEASE READ ITEMS 7 AND 8 ON REVERSE SIDE OF FORM.)

7. NAME

8. CALIFORNIA STREET ADDRESS IF AGENT IS AN INDIVIDUAL (DO NOT USE P.O. BOX) DO NOT INCLUDE ADDRESS IF AGENT IS A CORPORATION

COMMON INTEREST DEVELOPMENT ASSOCIATION

SECTION 1350, ET SEQ., CIVIL CODE

9. ☐ THIS CORPORATION **IS NOT** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT (IF THIS BOX IS CHECKED, PROCEED TO NUMBER 11.)

10. ☐ THIS CORPORATION **IS** AN ASSOCIATION FORMED TO MANAGE A COMMON INTEREST DEVELOPMENT UNDER THE DAVIS STIRLING COMMON INTEREST DEVELOPMENT ACT. (IF THIS BOX IS CHECKED, COMPLETE 10A AND 10B)

10A. BUSINESS OFFICE STREET ADDRESS OR PHYSICAL LOCATION OF DEVELOPMENT, INCLUDING ZIP CODE

10B. NAME AND ADDRESS OF THE MANAGING AGENT

11. I DECLARE THAT I HAVE EXAMINED THIS STATEMENT AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

DATE

TITLE

TYPE OR PRINT NAME OF SIGNING OFFICER OR AGENT

SIGNATURE

INSTRUCTIONS FOR COMPLETING STATEMENT BY DOMESTIC NONPROFIT CORPORATION

- FILING PERIOD:** All Nonprofit Corporations must file within 90 days after filing articles of incorporation. Thereafter, corporations must file annually by the end of the calendar month of the anniversary date of its incorporation, and when the agent for service of process or his/her address is changed.
- FILING FEE:** All Nonprofit Corporations must submit a ten dollar (\$10.00) filing fee with this statement. (Section 12210(B) Government Code.) Check or money order should be made payable to Secretary of State. PLEASE DO NOT SEND CASH.
- ITEMS 2—2B:** The address to be entered is the STREET address of the corporation's principal office. Enter room or suite number and ZIP code. Do not use post office box number.
- ITEMS 3—3B:** The address to be entered is the MAILING ADDRESS for the corporation.
- ITEMS 4—6C:** Complete by entering the names and complete business or residence addresses of the corporation's chief executive officer (i.e., president, chairperson or other title), secretary, and chief financial officer (i.e., treasurer, chairperson or other title). No list of additional officers should be submitted. Do not use post office numbers.
- ITEM 7:** Sections 6210 and 8210 of the Corporations Code make it mandatory that domestic Nonprofit Corporations designate an agent for service of process. An agent for service of process is one who may accept papers in case of a lawsuit against the corporation. The agent may be an individual who is an officer or director of the corporation, or any other person. The person named as agent must be a resident of California. Only one individual may be named as agent for service of process. Or, the agent may be another corporation. However, a corporation named as agent for service of process for another corporation must have on file in this office, a certificate pursuant to Section 1505, Corporations Code. The certificate is required ONLY if a corporation is named as agent for service of process for other corporations. A CORPORATION CANNOT BE NAMED AS AGENT FOR SERVICE OF PROCESS FOR ITSELF. (For example, ABC Corporation cannot name ABC Corporation as its agent for service of process.)
- ITEM 8:** If the agent is a person, enter name and complete business or residence address. If agent is another corporation, enter name of corporation only, and do not complete address portion. Only one agent for service of process is to be named.
- ITEMS 9—10B:** Section 1350, et seq., Civil Code mandates that a corporation formed on behalf of common interest development associations furnish specific additional information when filing a statement pursuant to Section 1502, California Corporations Code. If the corporation was not formed to manage a common interest development the box in Item 9 is to be marked and Items 10 - 10B are to remain blank. If the corporation was formed to manage a common interest development then the box in Item 10 is to be marked. Item 10A is to be completed with the address of the business or corporate office unless the office is off-site, then Item 10 is to be completed with the nine-digit ZIP code, front street, and nearest cross street for the physical location of the common interest development. Item 10B is to be completed with the name and address of the association's managing agent (Section 1363.1, Civil Code), if any.
- ITEM 11:** Printed name and signature of corporate officer or agent are required to complete the form. Enter title and date signed.
- (NOTE) ITEM 1:** Do not alter the preprinted corporate name. If corporation name is not correct, please attach note of explanation. If space is blank enter exact corporate name and number, do not include your DBA name.
- FAILURE TO FILE THIS FORM BY THE DUE DATE IN ITEM 1 WILL RESULT IN THE ASSESSMENT OF A \$50.00 PENALTY. (Sections 6810, 8810, Corporations Code, and Section 25936, Revenue and Taxation Code.)
- NOTE:** Your canceled check is your receipt of filing. We suggest that you make a copy of this form before mailing, if you wish one for you files.

Based on information you supplied, and assuming your operations will be as stated in your application for recognition of exemption, we have determined you are exempt from federal income tax under section 501(a) of the Internal Revenue Code as an organization described in section 501(c)(3).

Because you are a newly created organization, we are not now making a final determination of your foundation status under section 509 (a) of the Code. However, we have determined that you can reasonably expect to be a publicly supported organization described in sections 509 (a) (1) and 170 (b) (1) (A) (vi).

Accordingly, during an advance ruling period you will be treated as a publicly supported organization, and not as a private foundation. This advance ruling period begins and ends on the dates shown above.

Within 90 days after the end of your advance ruling period, you must send us the information needed to determine whether you have met the requirements of the applicable support test during the advance ruling period. If you establish that you have been a publicly supported organization, we will classify you as a section 509 (a) (1) or 509 (a) (2) organization as long as you continue to meet the requirements of the applicable support test. If you do not meet the public support requirements during the advance ruling period, we will classify you as a private foundation for future periods. Also, if we classify you as a private foundation, we will treat you as a private foundation from your beginning date for purposes of section 507(d) and 4940.

Grantors and contributors may rely on our determination that you are not a private foundation until 90 days after the end of your advance ruling period. If you send us the required information within the 90 days, grantors and contributors may continue to rely on the advance determination until we make a final determination of your foundation status.

If we publish a notice in the Internal Revenue Bulletin stating that we will no longer treat you as a publicly supported organization, grantors and contributors may not rely on this determination after the date we publish the notice. In addition, if you lose your status as a publicly supported organization, and a grantor or contributor was responsible for, or was aware of, the act or failure to act, that resulted in your loss of such status, that person may not rely on this determination from the date of the act or failure to act. Also, if a grantor or contributor learned that we had given notice that you would be removed from classification as a publicly supported organization, then that person may not rely on this determination as of the date he or she acquired such knowledge.

If you change your sources of support, your purposes, character, or method of operation, please let us know so we can consider the effect of the change on your exempt status and foundation status. If you amend your organizational document or bylaws, please send us a copy of the amended document or bylaws. Also, let us know all changes in your name or address.

As of January 1, 1984, you are liable for social security taxes under the Federal Insurance Contributions Act on amounts of \$100 or more you pay to each of your employees during a calendar year. You are not liable for the tax imposed under the Federal Unemployment Tax Act (FUTA).

Organizations that are not private foundations are not subject to the private foundation excise taxes under Chapter 42 of the Internal Revenue Code. However, you are not automatically exempt from other federal excise taxes. If you have any questions about excise, employment, or other federal taxes, please let us know.

Donors may deduct contributions to you as provided in section 170 of the Internal Revenue Code. Bequests, legacies, devises, transfers, or gifts to you or for your use are deductible for Federal estate and gift tax purposes if they meet the applicable provisions of sections 2055, 2106, and 2522 of the Code.

Donors may deduct contributions to you only to the extent that their contributions are gifts, with no consideration received. Ticket purchases and similar payments in conjunction with fundraising events may not necessarily qualify as deductible contributions, depending on the circumstances. Revenue Ruling 67-246, published in Cumulative Bulletin 1967-2, on page 104, gives guidelines regarding when taxpayers may deduct payments for admission to, or other participation in, fundraising activities for charity.

Contributions to you are deductible by donors beginning January 22, 1997.

You are not required to file Form 990, Return of Organization Exempt From income Tax, if your gross receipts each year are normally \$25,000 or less. If you receive a Form 990 package in the mail, simply attach the label provided, check the box in the heading to indicate that your annual gross receipts are normally \$25,000 or less, and sign the return.

APPENDIX B

If a return is required, it must be filed by the 15th day of the fifth month after the end of your annual accounting period. A penalty of \$20 a day is charged when a return is filed late, unless there is reasonable cause for the delay. However, the maximum penalty charged cannot exceed \$10,000 or 5 percent of your gross receipts for the year, whichever is less. For organizations with gross receipts exceeding \$1,000,000 in any year, the penalty is \$100 per day per return, unless there is reasonable cause for the delay. The maximum penalty for an organization with gross receipts exceeding \$1,000,000 shall not exceed \$50,000. This penalty may also be charged if a return is not complete. So, please be sure your return is complete before you file it.

You are not required to file federal income tax returns unless you are subject to the tax on unrelated business income under section 511 of the Code. If you are subject to this tax, you must file an income tax return on Form 990-T, Exempt Organization Business Income Tax Return. In this letter we are not determining whether any of your present or proposed activities are unrelated trade or business as defined in section 513 of the Code.

You are required to make your annual return available for public inspection for three years after the return is due. You are also required to make available a copy of your exemption application, any supporting documents, and this exemption letter. Failure to make these documents available for public inspection may subject you to a penalty of \$20 per day for each day there is a failure to comply (up to a maximum of \$10,000 in the case of an annual return).

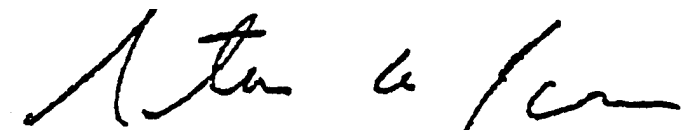
You need an employer identification number even if you have no employees. If an employer identification number was not entered on your application, we will assign a number to you and advise you of it. Please use that number on all returns you file and in all correspondence with the Internal Revenue Service.

If we said in the heading of this letter that an addendum applies, the addendum enclosed is an integral part of this letter.

Because this letter could help us resolve any questions about your exempt status and foundation status, you should keep it in your permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

Sincerely yours,

A handwritten signature in black ink, appearing to read "A. L. ...", is written over the typed name "District Director".

District Director

DIRECTIONS TO THE TOBACCO CONTROL SECTION (TCS)

TCS is located at 601 North 7th Street in the Continental Plaza building. There is visitor parking located at the 2nd Continental Plaza entrance. There is a charge for parking (\$6.00 for all day or 50 cents an hour), but there is also some minimal free parking available along the street. The entrance to the building is on the south side of the building, which faces Richards Boulevard. Check in with the security guard at the front entrance, and they will call our staff to come and meet you.

From the Sacramento International Airport to TCS:

Take I-5 South and take the Richards Boulevard exit **(If you pass J Street, you have gone too far)**. At the exit light, turn left under the freeway. Follow Richards Boulevard to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From Fresno to TCS:

Take I-5 North toward Sacramento. You will see exits for Highway 50 and Business 80. REMAIN IN THE LEFT LANES AND CONTINUE NORTH! You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!)**. Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From South Lake Tahoe to TCS:

Take Highway 50 toward Downtown Sacramento. You will pass exits for Business 80/Reno and Highway 99. REMAIN IN THE LEFT LANES UNTIL YOU PASS THESE EXITS! Continue on Highway 50 until you see signs for I-5 North (Redding). You will pass exits for 16th and 10th Streets. You will need to get in the far RIGHT lanes TO TAKE THE I-5 North exit. After taking the I-5 North exit, you will quickly need to merge to the left. You will pass the Q and J Street exits. Take the next exit, Richards Boulevard. **(IF YOU CROSS THE AMERICAN RIVER AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!)** Turn right at the off-ramp light and continue to North 7th Street. Turn left on North 7th Street. Continental Plaza is the 3rd building on the right.

From the Bay Area to TCS:

There are two ways to get to TCS. It depends on which freeway you take.

1. Heading East on Business 80/Highway 50 toward Sacramento/South Lake Tahoe: Cross the Sacramento River, and take the I-5 North (Redding) exit. You will pass the Q and J Street exits. Take the Richards Boulevard exit. **(IF YOU CROSS THE AMERICAN RIVER**

AND THE GARDEN HIGHWAY EXIT, YOU HAVE GONE TOO FAR!) Turn right at the off-ramp light and continue to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

OR

2. Heading East on Business 80 toward Sacramento/South Lake Tahoe: **(after Davis and before West Sacramento)** - - take Interstate 80/Reno. Interstate 80 will cross the Sacramento River and will swing around to intersect with I-5. Take the I-5 (South) exit toward downtown Sacramento. You will pass the Garden Highway exit and cross over the American River. Take the Richards Boulevard Exit. **IF YOU PASS THE J STREET AND Q STREET EXITS, YOU HAVE GONE TOO FAR!** Turn left at the off-ramp light and continue on to North 7th Street. Turn left at North 7th Street. Continental Plaza is the 3rd building on the right.

COPYRIGHT AND OWNERSHIP OF MATERIALS

The following is the required copyright and ownership of materials language in the TCS grant:

- A. The State shall be the owner of all rights, title and interest in, not limited to the copyright to, any and all Works created, provided, or developed in part or in total under this grant, whether or not published or produced. For purposes of this paragraph, "Works" are all literary Works, writings and printed matter, including the medium by which it is recorded or reproduced, and photographs, art work, pictorial and graphic representations, motion pictures, other audiovisual products, digital recordings, tape recordings, educational materials, original computer software programs, data, and any other materials or products conceived, developed, or delivered as a result of this grant. The copyright to any and all Works created, provided, or developed under this grant, whether published or not published or produced, belongs to the State from the moment of creation.
- B. The State retains all rights to use, reproduce, distribute, or display any Works created, provided, or produced under this grant and any derivative works based on grant Works, as well as all other rights, privileges, and remedies granted or reserved to a copyright owner under statutory and common law copyright law.
- C. Grantee shall grant to the State, as permitted in California Civil Code, Section 982, ownership in any original work of authorship created, provided, or produced under this grant that is not fixed in any tangible medium of expression.
- D. If for any reason, the State is not deemed to be the owner of all rights, title and interest in the Works created, provided, developed, or produced under this grant, then Grantee, by entering into this grant, assigns all such rights to the State.
- E. For any product, data or material which is created, provided, developed, or produced under this grant which is not deemed a Work, the Grantee shall grant the State a royalty-free, non-exclusive, and irrevocable license throughout the world to reproduce, to produce derivative Works, to distribute copies, to perform, to display or otherwise use, duplicate, or dispose of such product, data or material in any manner for governmental purposes, and to have or permit others to do so.
- F. Subject to the terms, conditions, and limitations contained in this grant and subject to the performance of all terms and conditions stated in this grant, the State grants to the Grantee a non-exclusive license to use, duplicate, distribute, and permit others to use Works created, produced or developed under this grant for the purpose of carrying out the terms and conditions of this grant, consistent with any limitations set forth in this grant.
- G. For Works requiring the use of other copyright holders' materials, the Grantee shall furnish the names and addresses of all copyright holders or their agents, if any, and the terms of any

licenses or usage granted, at the time of delivery of the Works. No materials of other copyright holders shall be used without prior written permission of the State and the holder of the copyright.

- H. At any time the Grantee enters into an agreement with another party in order to perform the work required under this grant, the Grantee shall require the agreement to include language granting the State a copyright interest in any Works created, provided, developed, or produced under the agreement and ownership of any Works not fixed in any tangible medium of expression. In addition, the Grantee shall require the other party to assign those rights to the State in a format prescribed by the State. For any Works for which the copyright is not granted to the State, the State shall retain a royalty-free, non-exclusive and irrevocable license throughout the world to reproduce, to prepare derivative Works, to distribute copies, to perform, to display, or otherwise use, duplicate or dispose of such Works in any manner for government purposes, and to have or permit others to do so.
- I. The Grantee represents and warrants that:
 - 1) the Grantee is free to enter into and fully perform this agreement;
 - 2) the Grantee has secured or will secure all rights and licenses necessary for the creation, production, or development of the Works under this grant;
 - 3) neither the Works created, produced, or developed under this grant, the materials contained therein, nor the exercise by either the Grantee or the State of the rights described or granted in this grant, shall infringe upon or violate the rights or interests of any person or entity;
 - 4) neither the Works, nor any part of the Works, created, produced, or developed under this grant shall: a) violate the right of privacy of, or b) constitute a libel or slander against, or c) infringe upon the copyright, literary, dramatic, statutory or common law rights, trademarks or service marks of any person, firm, or corporation; and
 - 5) the Grantee has not granted and shall not grant to any person or entity any right that would or might derogate, encumber, or interfere with any of the rights granted to the State in this grant.
- J. All Works distributed under the terms of this grant and any reproductions of visual Works or text of such Works shall include a notice of copyright in a place that can be visually perceived either directly or with the aid of a machine or device. This notice shall be placed prominently on Works and set apart from other matter on the page or medium where it appears.
- K. The Grantee shall indemnify, defend and hold harmless the State and its licensees and assignees, and their officers, directors, employees, agents, representatives, successors, licensees and assignees from and against all claims, actions, damages, losses, costs and expenses, including reasonable attorneys' fees, which any of them may sustain because of

the use, reproduction, distribution, display or transfer of the Works and any other materials furnished by Grantee under this grant, or because of the breach of any of the representations or warranties made in this grant award.

- L. If the use of any Work is enjoined as a result of any action or proceeding, the Grantee shall, at its own expense and at the option of the State:
 - 1) procure for the State the right to continue to use said element, if the cost of said element does not exceed the reasonable cost anticipated under paragraph 16.L.2) or 16.L.3) below; or
 - 2) replace said element with a comparable element which is non-infringing or does not violate the rights or interest of any person or entity; or
 - 3) modify said element so it becomes non-infringing or does not violate the rights or interest of any person or entity.
- M. The State owns all materials developed, provided, and produced for the State under this grant. During the contracting phase of this process, the State shall negotiate with the Grantee to determine the number of camera-ready and completed versions of each deliverable the State will receive. It is anticipated that the State will use deliverables in future tobacco control programs.

Exhibit C
Tobacco Control Section
Scope of Work/Workplan, Part I
Instructions Overview

APPENDIX E

Grant Number:

Grant Term:

Agency Name:

Revision Date:

Project Name:

Report Period:

Objectives/Activities/Evaluation	Start/ End Date	Who Is Responsible	Tracking Measures	For Progress Report Use Only		
				Document Number/ Letter	Actual Date(s) Completed	TCS Use Only: Document Rec'd & Okay
<p>Priority Area:</p> <p>Priority: State one of the three priority areas: ETS, Youth Access, or Countering Pro-Tobacco Influences. Do not “co-mingle” priority areas.</p> <p>In outline format, state an objective and following each objective, describe the intervention to be implemented to achieve the objective. Immediately following the description of the intervention, describe the outcome evaluation plan. <u>Process evaluation activities are listed in column #4.</u></p> <p>1. Outcome Specific Objective: The objectives should be measurable and clearly identify the expected result or outcome. It should state how much change will occur, for what target group, when the objective will be met and what location. A good objective is measurable, quantifiable, and time limited.</p> <p>Example: By 4/30/02, the City of OZ will enact a policy to license tobacco retailers.</p> <p>A. <i>Intervention: Describe the planning, collaboration, educational, policy, media and training activities used to achieve the objective. List these in outline format and in chronological order. The description should describe your target group, what will be done, and how much will be done. This should include the steps, methods and strategies to educate and mobilize the community. The intervention may include: meetings, presentations, trainings, letter writing campaigns, press conferences, materials development, etc.</i></p> <p>Example: Conduct 2-4 community forums on tobacco retailer licensing with participation from law enforcement, youths, parents and other interested parties. Topics to be addressed will include: the problem of illegal sales of tobacco products, solutions, and action steps.</p> <p>B. <i>Outcome Evaluation Activities: Describe the evaluation design, methodology, data Collection and analysis, and plan for disseminating evaluation findings</i></p>	<p><i>Describe the period that major activities will be implemented.</i></p> <p>Provide the start and end date for completion of the activity.</p> <p>Provide both the month and year.</p> <p>Do not give the entire contract period as the start and end date for each activity.</p>	<p><i>Identify who is responsible for conducting or participating in the major activities. This may include staff, coalition members or community volunteers, evaluation consultant, etc.</i></p> <p>Please list the position title. If using acronyms, please indicate what the acronym stands for.</p>	<p>Describe the tracking measures which document that the process oriented activities were completed</p> <p>Examples of tracking measures include: sign-in sheets, press releases, survey instruments, evaluation reports, etc. Some tracking measures, such as meeting notes, individual registration forms completed, and others may be kept “on file in the office.” Place a plus sign (+) beside the tracking measure you would like to keep on file in your office. <u>These items must be on file in the event of an audit.</u></p>			

TIPS FOR WRITING OUTCOME OBJECTIVES

Writing outcome-specific objectives may require a substantial amount of time and thought before the objectives are narrowed down to capture precisely what you want to accomplish. Keep in mind that, if someone outside your agency reads your Scope of Work, they should be able to understand what you propose to achieve. The objective should be concise yet capture: 1) who you are targeting; 2) what you are changing; 3) how you are making the change and by how much; and 4) when and where you are making the change. Examples of objectives are listed below. Please note that these sample objectives are simply “examples.”

a. Examples of outcome objectives:

- By November 30, 2002, there will be a minimum of 4 parks/family recreational sites in County A that adopt out-door smoke-free policies to reduce secondhand smoke exposure.
- By June 30, 2002, the City of B will adopt a policy requiring tobacco retailers and vending machine operators to be licensed.
- By June 30, 2003, at least 3 newspapers targeting young adults (18-24) in C County will adopt policies prohibiting tobacco advertising.

b. Examples of process objectives:

- By June 30, 2003, develop, maintain, and promote a directory of tobacco-free rental housing in the City of X.
- By June 30, 2001, conduct a coordinated, multi-faceted campaign on transnational tobacco issues targeting policy makers and the general public in County Y that will result in a Board of Supervisors' resolution in support of the World Health Organization's *Framework Convention on Tobacco Control*.

					BUDGET SAMPLE		APPENDIX G	
Name of Grantee:								
Grant Number 00-XXXXX							Revision Date: _____	
Term: 07/01/00 - 06/30/03								
					Year 1	Year 2	Year 3	Total
					07/00 - 06/01	07/01 - 06/02	07/02 - 06/03	Budget
	Pay Period	Number of Pay Periods/Year	Salary Range	% of Time or Hrs per PP				
A. PERSONNEL COSTS					\$0	\$0	\$0	\$0.00
1.	Project Director	S	24	\$1,400-\$1,600	100%	\$0	\$0	\$0.00
2.	Health Educator	S	20	\$1,250-\$1,450	80-100%	\$0	\$0	\$0.00
3.	Media Coordinator	S	12	\$1,300-\$1,500	40-50%	\$0	\$0	\$0.00
4.	Clerical Assistant	H	20	\$10-\$20 per hr.	30-40 hr/pp	\$0	\$0	\$0.00
Total Personnel Costs:					\$0	\$0	\$0	\$0.00
B. FRINGE BENEFITS @ X%-XX% of Total Personnel Costs					\$0	\$0	\$0	\$0.00
TOTAL PERSONNEL EXPENSES:					\$0	\$0	\$0	\$0.00
C. OPERATING EXPENSES					\$0	\$0	\$0	\$0.00
D. EQUIPMENT EXPENSES					\$0	\$0	\$0	\$0.00
E. TRAVEL/PER DIEM and TRAINING					\$0	\$0	\$0	\$0.00
F. SUBCONTRACTS and CONSULTANTS								
1.	Evaluation Consultant							
2.	ABC Company							
3.	John Doe & Associates				\$0	\$0	\$0	\$0.00
4.	Media Consultant				\$0	\$0	\$0	\$0.00
TOTAL SUBCONTRACTS and CONSULTANTS:					\$0	\$0	\$0	\$0.00
G. OTHER COSTS:								
1.	Educational Materials				\$0	\$0	\$0	\$0.00
2.	Promotional Items and Incentives				\$0	\$0	\$0	\$0.00
3.	Media, Public Relations, and Advertising				\$0	\$0	\$0	\$0.00
4.	Additional Expenses				\$0	\$0	\$0	\$0.00
TOTAL OTHER COSTS:					\$0	\$0	\$0	\$0.00
H. TOTAL DIRECT EXPENSES					\$0	\$0	\$0	\$0.00
I. INDIRECT EXPENSES @ X% - XX% of Total Personnel Expenses					\$0	\$0	\$0	\$0.00
TOTAL EXPENSES					\$0	\$0	\$0	\$0.00

BUDGET JUSTIFICATION FORMAT SAMPLE

**ABC COMMUNITY SERVICES, INC.
BUDGET JUSTIFICATION
JULY 1, 2000-JUNE 30, 2003**

		<u>AMOUNT REQUESTED</u>			<u>Total for Grant Term</u>
		<u>FY 00/01</u>	<u>FY 01/02</u>	<u>FY 02/03</u>	
A. PERSONNEL SALARIES					
1.	Project Director (\$1,400-\$1,600 paid semi-monthly) x (100%) x (24 pay periods/per year)	\$ 33,600	\$ 36,000	\$ 38,400	\$ 108,000
Project Director for tobacco control program. Responsibilities include overall planning, supervision, development, training, report writing, fiscal & general coordination of the project. Monitors the project budget, maintains liaison with CDHS/TCS Health Education Consultant/Health Program Advisor and Contract Manager. Approves budget, invoices, staff changes, ensures timely progress on contract obligations, and other duties as required. Devotes 10% of his/her time to oversee the implementation of the evaluation and work with the evaluation consultant.					
2.	Health Educator (\$1,250- \$1,450 paid semi-monthly) x (80-100%) x (20 pay periods/per year)	\$20,000	\$ 24,300	\$ 29,000	\$ 73,300
Under supervision of the Project Director, responsible for coordinating the tobacco program's media activities, promotional events, trainings, newsletter, and other duties as required. Devotes 5% of his/her time to implement evaluation activities.					

COMPARABLE STATE CIVIL SERVICE CLASSIFICATIONS

State Classification Title	Comparable Title	Comparable Monthly Salary
Health Education Consultant Specialist III	Project Director	\$4,219-\$5,274
Health Education Consultant II	Senior Health Educator or Assistant Project Director	\$3,839-\$4,800
Health Education Consultant I	Health Educator or Health Education Assistant	\$2,847-\$3,547
Administrative Assistant I	Program Coordinator/Assistant	\$3,160-\$3,799
Office Services Supervisor II	Office Manager	\$2,653-\$3,225
Management Services Technician	Community Health Worker	\$2,155-\$2,537
Research Scientist II	Evaluation Consultant	\$4,505-\$5,532
Research Scientist I	Evaluation Consultant	\$4,175-\$5,036
Associate Governmental Program Analyst	Research Analyst II	\$3,951-\$4,585
Staff Services Analyst	Research Analyst I	\$2,433-\$2,892

Travel Reimbursement Information
Effective November 2, 1999

1. The following rate policy is to be applied for reimbursing the travel expenses of persons under contract.
 - a. Reimbursement shall be at the rates established for similar state employees.
 - b. Short Term Travel is defined as more than 24-hours, but less than 31 consecutive days, and is at least 50 miles from the main office, headquarters or primary residence. Starting time is whenever contract leaves his or her home or headquarters. "Headquarters" is defined as the place where contracted personnel spend the largest portion of their working time and return to upon the completion of special assignments.
 - c. Contractors on travel status for more than one 24-hour period and less than 31 consecutive days may claim a fractional part of a period of more than 24 hours. Consult the chart appearing on page 2 of this bulletin to determine the reimbursement allowance. All lodging must be receipted. If contractor does not present receipts, lodging will not be reimbursed.
 - (1) Lodging:
 - a. Statewide Rate (with receipts): Actual cost up to \$84.00 plus tax.
 - b. Effective November 2, 1999 through June 30, 2000, when required to do business and obtain lodging in the counties of Alameda, San Francisco, San Mateo and Santa Clara, and Central and Western Los Angeles reimbursement will be for actual receipted lodging to a maximum of \$110 plus applicable taxes. Central and Western Los Angeles is the territory bordered by Sunset Boulevard on the north, the Pacific Ocean on the west, Imperial Blvd/Freeway 105 on the south and Freeways 110, 10, and 101 on the east. This area includes downtown L.A., Inglewood, L.A. International Airport, Playa del Rey, Venice, Santa Monica, Brentwood, West L.A., Westwood Village, Culver City, Beverly Hills, Century City, West Hollywood and Hollywood.

Reimbursement for actual lodging expenses exceeding the above amounts may be allowed with the advance written approval of the Deputy Director of the Department of Health Service or his or her designee. Receipts are required.
 - (2) Meal/Supplemental Expenses (with or without receipts): With receipts, the contractor will be reimbursed actual amounts spent up to the maximum.

Breakfast	\$6.00	Dinner	\$18.00
Lunch	\$10.00	Incidentals	\$6.00
 - d. Out-of-state travel may only be reimbursed if such travel has been stipulated in the contract and has been approved in advance by the program with which the contract is held. For out-of-state travel, contractors may be reimbursed actual lodging expenses, supported by a receipt, and may be reimbursed for meals and supplemental expenses for each 24-hour period computed at the rates listed in c. (2) above. For all out-of-state travel, contractors must have prior Departmental approval and a budgeted trip authority.
 - e. In computing allowances for continuous periods of travel of less than 24 hours, consult the chart appearing on page 2 of this bulletin.
 - f. No meal or lodging expenses will be reimbursed for any period of travel that occurs within normal working hours, unless expenses are incurred at least 50 miles from headquarters.
2. If any of the reimbursement rates stated herein are changed by the Department of Personnel Administration, no formal contract amendment will be required to incorporate the new rates. However, DHS shall inform the contractor, in writing, of the revised travel reimbursement rates.

3. For transportation expenses, the contractor must retain receipts for parking; taxi, airline, bus, or rail tickets; car rental ; or any other travel receipts pertaining to each trip for attachment to an invoice as substantiation for reimbursement. Reimbursement may be requested for commercial carrier fares; private car mileage; parking fees; bridge tolls; taxi, bus, or streetcar fares; and auto rental fees when substantiated by a receipt.
4. **Note on use of autos:** If a contractor uses his or her car for transportation, the rate of pay will be 31 cents maximum per mile. If the contractor is a person with a disability who must operate a motor vehicle on official state business and who can operate only specially equipped or modified vehicles may claim a rate of 31 cents per mile without certification and up to 37 cents per mile with certification. If a contractor uses his or her car "in lieu of" air fair, the air coach fair will be the maximum paid by the State. The contractor must provide a cost comparison upon request by the state. Gasoline and routine automobile repair expenses are not reimbursable.
5. The contractor is required to furnish details surrounding each period of travel. Travel detail may include, but not be limited to: purpose of travel, departure and return times, destination points, miles driven, mode of transportation, etc.
6. Contractors are to consult with the program with which the contract is held to obtain specific invoicing procedures.

TRAVEL REIMBURSEMENT GUIDE

IF LENGTH OF TRAVEL IS	IF THIS CONDITION EXISTS	CONTRACTOR MAY CLAIM
Less than 24 hours	Travel begins at or before 6:00 a.m. and ends at or after 9:00 a.m. <i>Example: A contractor may claim breakfast if, during a period of travel, he or she begins their travel at 5:30 a.m. and ends their travel at 9:30 a.m.</i>	Breakfast
Less than 24 hours	Travel begins at or before 4:00 p.m. and ends at or after 7:00 p.m. <i>Example: A contractor may claim dinner if, during a period of travel, he or she begins their travel at 3:30 p.m. and ends their travel at 7:30 p.m.</i>	Dinner
Less than 24 hours	Lunch or incidentals may not be claimed on a trip of less than 24 hours	
24 Hours	A contractor is on travel status for a full 24 hour period (determined begin and end times).	Breakfast, lunch, and dinner
Last fractional part of more than 24 hours	Return at or after 8:00 a.m. <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 8:00 a.m., a breakfast allowance may be claimed.</i>	Breakfast
Last fractional part of more than 24 hours.	Return at or after 2:00 p.m. <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 2:00 p.m., a lunch allowance may be claimed.</i>	Lunch
Last fractional part of more than 24 hours.	Return at or after 7:00 p.m. <i>Example: If a contractor returns the last day of a trip of more than 24 hours at or after 7:00 p.m., a dinner allowance may be claimed.</i>	Dinner